

**Presentation on Dispute Prevention and Resolution Division (briefing
Part I)**

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For information

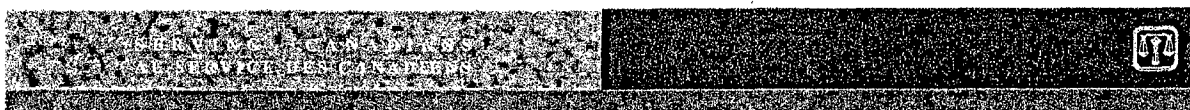
June 18, 2012

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Goal

For better discussions and exchange on Dispute Resolution (DR) clarifications are
important on:

- * The 2007 OAG recommendation on DR
- * Comments from ADAG Litigation
- * How the QRO project answers the OAG recommendation

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Full OAG Recommendation 2007:

It was written on page 6:

"2007 Report of the OAG: justice should ensure that that it clearly defines each initiative's objectives, estimates the potential cost savings and formally reviews the outcome of initiatives against their objectives."

warning:

Recommendation 5.25 has 2 inseparable elements:

"In addition to its current management of alternative dispute resolution initiatives, Justice Canada should ensure that it clearly defines each initiative's objectives, estimates the potential cost savings and formally reviews the outcome of initiatives against their objectives."

- Taking the first sentence out of recommendation 5.25 may lead to problematic situations with AG and other departments who see justice as the DR expert and leader.

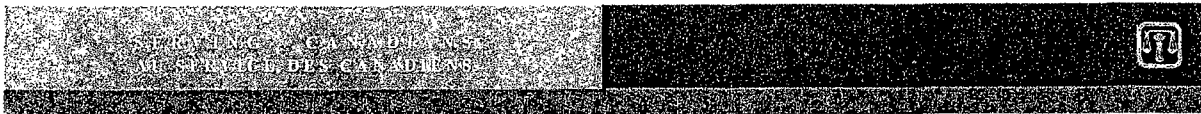


Lawyers and clients are asking for DR Services

It was written on page 4 Internal views:

"litigators expected to be conversant in DR practices"

- "a number of counsel and clients representatives commented on the need for more training in order for both counsel and clients representatives to maximize the potential of (..) DR processes" (p.66 Analysis)
- FY 2011-2012 over 30 training sessions and 400 employees trained to be DR conversant
- Justice litigators and DLSU still need legal expert DR advice- see list of 30 requests for legal opinion



Lawyers and clients are asking for DR Services

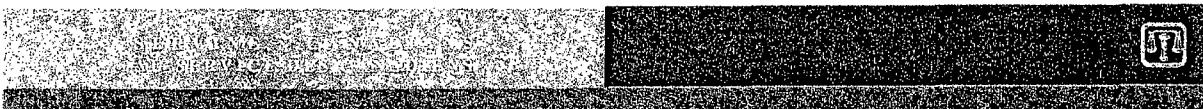
“litigators expected to be conversant
in DR practices”

QRO Survey: in 4 identified DR essential
activities, 2 are dealing with training:

- Formations de base et avancée sur la
négociation

- Formations techniques et pratiques
sur des sujets spécifiques reliés au
RD

- DPRD is not delivering front line DR:
litigators are



WHY CENTRAL DR COORDINATION IS NEEDED

p.4 “utility of central
coordination is unclear”

- “ a number of counsel and
some clients representatives
commented on the absence of
an overall strategic direction
for engagement in (...) DR
process” p.67 Analysis

- See DR Consultative Group
Action Plan (12 identified
DR coordination activities)



WHY CENTRAL DR COORDINATION IS NEEDED

p.4 "utility of central
coordination is unclear"

QRO Survey: 2 coordinating
DR activities were identified as
essential:

1. Répertoire et diffusion des
meilleurs pratiques
2. Sur demande, collaboration
au règlement de dossiers
importants et fournir des
conseils ciblés



Importance of the QRO project to respond to OAG

p.4 "QRO has partnered with LPMD to test
new service delivery model for DR to
examine whether strong linkages between
HQ and the regions would generate DR
initiatives"

•IMPORTANT

1) The goal of the project is twofold:

- to demonstrate that strong linkages
between Ottawa and regions will generate
dispute resolution (DR) initiatives
- through which files can be appropriately
managed, resolved more easily and
quickly and at a reduced cost

Omitting the second part of the goal may
raise questions as to why we initiated such a
project in a "cost-reduction" world.



Importance of QRO project to respond to OAG

p.4"QRO has partnered with LPMD to test new service delivery model for DR to examine whether strong linkages between HQ and the regions would generate DR initiatives"

IMPORTANT:

- this project also gave DPRD and QRO the opportunity to address many outstanding issues with a single project, including:

-(...)

DPRD's need to respond to the 2007 Auditor General Report by:

Continuing the current management of alternative dispute resolution initiatives,

Ensuring that Justice clearly defines each initiative's objectives, estimates the potential cost savings and formally reviews the outcome of initiatives against their objectives."

-(...)

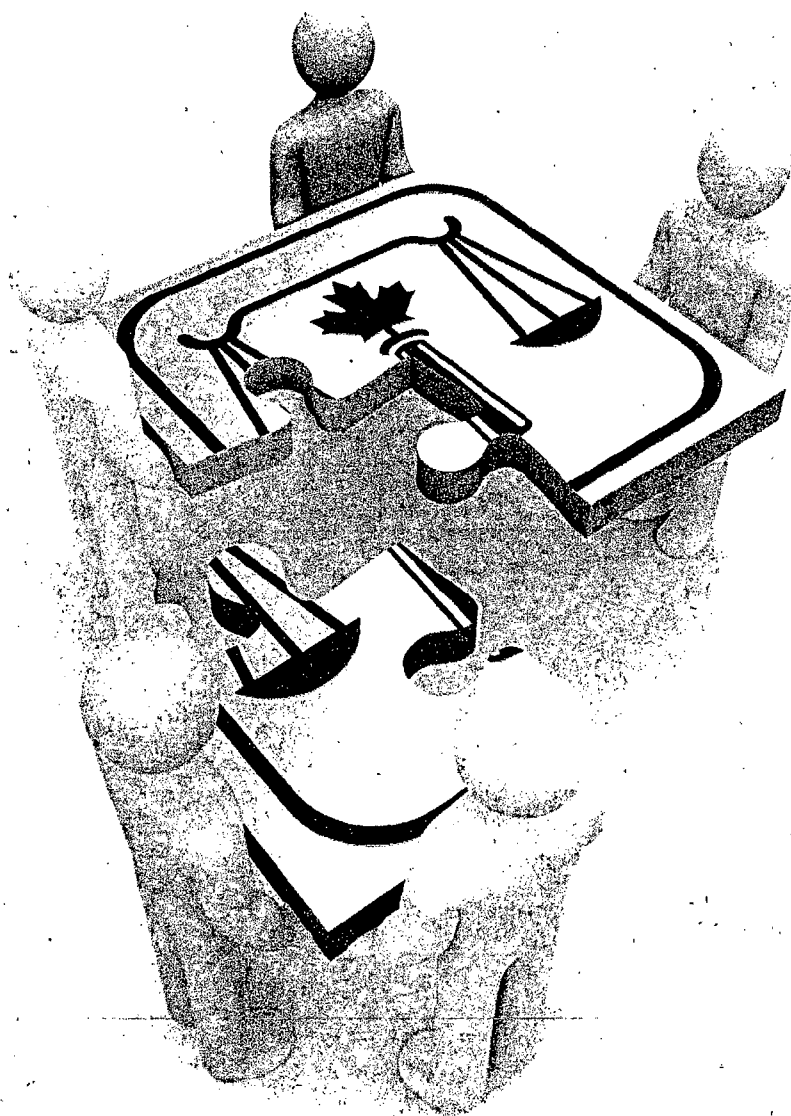


Relevance of QRO Project to respond to OAG

To date two QRO DR initiatives have emerged and a third initiative was being explored:

1. tax litigation, [REDACTED] resulted in cost savings of 60%
2. tax litigation "settlement challenge" where a logic model has been developed
3. bankruptcy files were being reviewed to implement another DR initiative

These initiatives assist in building the full DR Performance measurement Framework



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Preliminary Considerations: Analysis of the
Impacts of the Quebec Regional Office's
Implementation of the Protocol and
Settlement Challenge for certain tax files

Dispute Prevention & Resolution Division
April 2012



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Part One: Introduction & Purpose

Background

The Tax Law Directorate (TLD) of the Quebec Regional Office (QRO) has indicated that they have an interest in developing performance measures around the settlement of files as part of its implementation of the Settlement Challenge and Protocol; consequently, during the diagnostic process, DPRD has undertaken a preliminary review of data obtained from the QRO and also from the Business Practices Division in Headquarters. This review was aimed at determining what data is available to support the development of performance measures, considering what indicators would be required, and how they might be measured.

DPRD is currently leading the Department's response to elements of the 2007 Auditor General report which included specific recommendations regarding performance measurement of DR initiatives. As a result, the efforts of the QRO in this area of are particular interest to the Division.

Purpose

What follows is a preliminary attempt to consider these issues. This document is not intended to be a comprehensive, definitive or detailed treatment of this topic. Rather, it is meant to provide some guidance for future discussions between DPRD and TLD to determine precisely what the goals of the QRO are in undertaking this analysis, how best to meet these objectives, and what might be required to do so effectively.

Part One of this document recognizes that the choice of which avenue of analysis to pursue ultimately turns on a few central issues; consequently, it provide some key overarching considerations to frame the overall discussion. It also provides DPRD's key recommendations for performance measurement of this initiative.

Part Two presents a brief overview of the basic principles and components of performance measurement and the process to establish a performance measurement framework (PMF). It also provides a draft "logic model" as an example to guide development of a PMF that presents a number of other areas for further potential indicators.

Part Three focuses more specifically on basic analytical options for certain selected key performance indicators along with a preliminary assessment of the data required to support them and a general assessment of the current availability and reliability of that data.

While the present document provides a brief overview of analytical options for assessing the Protocol and Settlement Challenge, it does not purport to present a complete performance measurement

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framework (PMF) at this stage, but rather discusses certain key elements of data, planning and consideration that would go into the development of a PMF for the Protocol and Settlement Challenge.

Recommendations on performance measurement

We recommend that the TLD seize upon the opportunity presented by the Settlement Challenge to demonstrate the value that their staff, their initiative and their efforts provide in furthering the larger objectives of the Portfolio and the Department. While DPRD supports the development of performance measures for this and all DR initiatives, the complexity, resource requirements and goals of the project and their linkages need more discussion. This discussion includes developing a common understanding of goals, resource and time allocation, and standard performance measurement components and approaches.

Our conclusion to date is that, at a minimum, the following three key indicators would be essential to determine the effectiveness of the Settlement Challenge and Protocol.

- ∞ Rates of Settlement (how many files are settled)
- ∞ Time to disposition (how long it takes to settle files)
- ∞ Level of effort and cost (how many hours are spent to settle files and what this time represents in terms of cost to the client)

For each of these measures and the data required to analyze them, DPRD has reviewed existing data sources to determine whether data is available, if it is available but with challenges, or not currently available.

DPRD can continue to offer services to support the development of performance measures for the Settlement Challenge. These services focus on advice and assistance on best practices on how to measure DR activities and initiatives according to standardized accountability frameworks common across government (Performance Measurement Frameworks). DPRD welcomes the opportunity to continue to work with the QRO to show results in important areas of joint concern and interest.

In summary, DPRD recommends that the QRO:

- ∞ Establish a PMF for the ongoing implementation of the Protocol within the QRO following generally accepted practices
- ∞ In light of time and resource pressure, engage in a development process of limited scope aimed at establishing a PMF that is functional, without being overly demanding as part of a longer-term iterative approach
- ∞ Establish a small working group (consisting ideally of 1-2 legal practitioners, 1 paralegal, 1 iCase Administrator along with representatives from DPRD) to develop the PMF.

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Timelines and process¹

Once established the working group (WG) would then meet 2-3 times to develop the PMF. This would involve:

1. An introductory "Performance Measurement 101" to ground members in the basics of the approach (half a day)
2. Development of the logic model (half a day)
3. Selection of key performance indicators (half a day)

Before proceeding any further, the drafted material should be validated and approved by the appropriate management level in the QRO (to be determined by TLD).

Thereafter, the WG or perhaps even a subset thereof would develop the data and reporting plans, including any recommendations of new processes or alterations to existing processes required (2-3 days consultations, consideration and 1-2 days for drafting).²

General Considerations

Defining the Goals of the Initiative

First and foremost, the overarching goal of the analysis should be to explore and adequately convey the QRO's approach to the Protocol and the Settlement Challenge. Numbers alone cannot do this. Even in the absence of a formal performance measurement framework, any analysis of this nature will require a supporting conceptual architecture to be meaningful including, at a minimum: a clear understanding of the goals of initiative being analyzed, the purpose of the analysis itself and some details on the business context in which the initiative is framed.

Defining the Goals of the QRO's Implementation of the Protocol

In the simplest of terms, the goals of the Protocol and Settlement Challenge can be viewed as attempts to improve the settlement of files within the Tax Law Portfolio. That said, however, the documentation available for review by DPRD is not consistent on what the intended impact is on the overall management of the section of the litigation inventory covered by the Protocol. Moreover, the goals of the QRO in implementing the Protocol may be broader, or more specific, than the goals of the Protocol or Settlement Challenge itself.

Further, in order to ground the analysis within a results-based approach, the underlying purpose(s) will need to be concisely articulated as a series of clear outcomes following generally accepted practices for performance measurement.

¹ See Part Two of this document for a discussion of the components of performance measurement.

² These time estimates assume a very focused and accelerated approach and are predicated on aiming to have a PMF that is functional, without being perfect. Further, this does not include building a comparator group (see Part Three of this document for more on this issue).



Determining the level of resources to be committed

A further consideration is simple, but important: effort. While a basic analysis of key performance indicators is relatively simple, even this will require effort and time to complete. More complex analyses require correspondingly higher levels of resources, both in people and time. At a minimum, the participation of key individuals in the QRO will be required. QRO staff and management participation is required in order to develop and articulate expected results, access the basic inventory data required and ensure that it is adequately understood as well as explore and agreed upon any changes in practice or administration required to facilitate the analysis. To date, conversations with staff at the QRO have already indicated a number of issues with the data that are not on the surface apparent and these regional insights will be critical in ensuring that the analysis is as accurate as possible.

Looking back or going forward

The analysis of the present initiatives can – with some exceptions – be done retrospectively, though where new data elements are required this could involve considerable time and effort, and any results will ultimately only be as good or as reliable as the data from which they are derived. A determination of whether the goal of the present endeavour is to look back on what has already transpired or if the intention is to apply this only to future cases will have a significant impact on the resources, time and complexity of many of the element of the analysis and so is worth discussing in more detail to ensure that the appropriate balance between level of effort and completeness of analysis is struck.

Part Two: Performance Measurement

What is it?

Performance measurement is part of an ongoing Government of Canada culture change initiative to embed principles of results based management into the day-to-day operations of government. **Results-based management** is a way of managing whereby an organization ensures that all of its processes, products and services *contribute to the achievement of desired results*. It depends on clearly defined accountability for results, and requires *systematic monitoring, self-assessment and reporting on progress*.

So while performance measurement is a form of analysis, it is one that is grounded in core corporate accountability regimes of government within which it is in turn only one of many tools. It is the process of developing, monitoring and assessing indicators to guide decision making

Why do we do it?

As federal public servants, we are often called upon to demonstrate the value and impact of the things we do. As stewards of the public purse, we have a responsibility to ensure that we are maximizing the value of public dollar expenditures and providing programs and services that meet the needs of the government, and ultimately Canadians at large, in the most efficient and effective manner possibly. Performance measurement is one tool available to do so.

Of more practical concern perhaps, we are not often given much choice in the matter. Results-based management of programs and initiatives, of which performance measurement is a significant element, is emerging as a core value of the public service. Departments, on their own and at the urging of central agencies, increasingly require the regular evaluation and performance measurement as part of establishing or maintaining services and programs.

Within this environment, performance measurement assists management to:

- ∞ Systematically monitor and assess the progress of an initiative
- ∞ Provide effective departmental reporting
- ∞ Make informed decisions and take appropriate and timely action
- ∞ Ensure that appropriate performance data is collected to support evaluation

How do we do it?

While approaches to performance measurement vary somewhat, they all share certain core elements in common. There are five key elements involved in the development a Performance Measurement Framework (PMF). They are:

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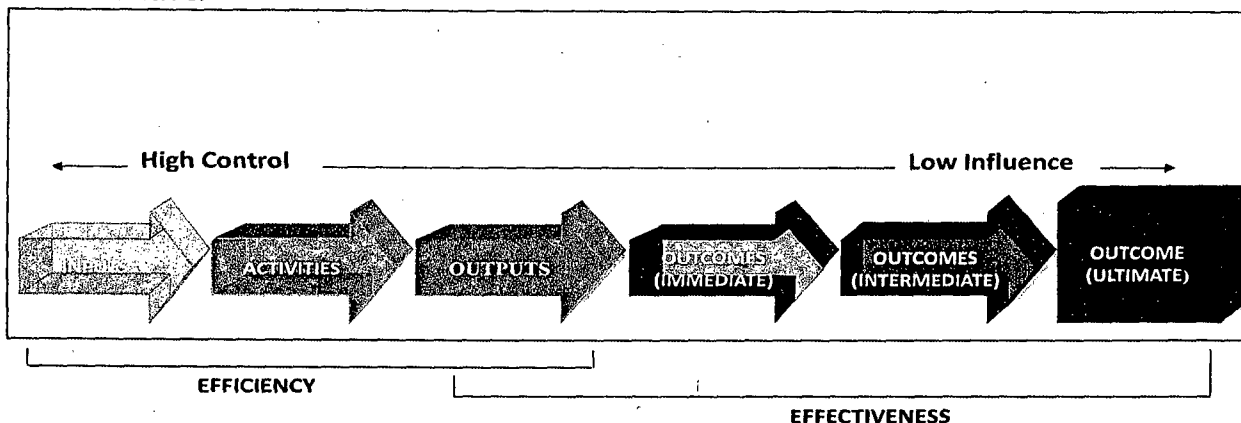
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1. Document the Logic of the Initiative

Any performance measurement approach starts with a process of developing the story of the initiative. This is a process of considering, answering and documenting the “why” of a program: What is the purpose of the initiative? What are we trying to accomplish?

Performance measurement breaks this story down into a series of components and builds them up again in a standardized format: the logic model. A “logic model” serves as the initiative’s road map and is a visual representation of the linear relationship between inputs (“how we do it”), activities (“what we do”), outputs (“what we produce”) and outcomes (“desired end states”) of an initiative.



A logic model should be supplemented by a narrative outlining how activities contribute to immediate outcomes and how immediate outcomes contribute to higher level outcomes. The narrative should describe underlying assumptions about the program, including risks and external factors that may influence whether the program is successful in achieving its desired outcomes.

2. Determine Key Performance Indicators

Performance indicators are a means of measuring an output or outcome. In other words, they are the things that are measured to determine how well a program or initiative is contributing to the outcomes it has established. Examples of indicators are rate of settlement, client satisfaction, etc. Determining appropriate performance indicators is essential to effective performance measurement. Quality performance indicators should be:

- ∞ scientifically and statistically valid
- ∞ clearly linked to program outcomes
- ∞ repeatable and reliable allowing for comparison across time and different regions

- ∞ cost-effective to collect and analyze
- ∞ readily available

3. Build the Data Collection Strategy

Performance measurement is meant to provide an ongoing and continuous flow of performance data. It is important to have a clear **data collection strategy** developed, documented and in place to support the PMF. This requires focusing on how data is to be collected and should include a strategy that identifies the data sources, data types, data collection frequency, roles and responsibilities and other information required to implement and maintain the PMF. It is critical that the “how-to” be documented as staff turn-over and change through time can otherwise lead to drift in the method of collection or analysis that will undermine the long term value of the data.

4. Build the Reporting Strategy

Related to the data collection strategy, there needs to be a clear **reporting strategy**, including the design of report templates and dashboards and establishment of a reporting cycle (how often are results reported and to whom?). There may be several different reports and dashboards required depending on the needs of different target audiences.

5. Test, Implement and Refine

Once the PMF design is in place it will need to be implemented. A “first-run trial” is a good practice to work out any bugs that may not be evident until the framework is operationalized. Refinement of the PMF based on these observations should be undertaken; thereafter, once the PMF “goes live” refinement, introduction of new indicators and periodic consideration of the overall framework can be accomplished on an as-needed basis, either to increase the sophistication of the system, to work out issues that arise over time, or to adapt to changes in requirements, process or business practices. As a general rule, these changes should be clearly documented and incorporated into the data collection and reporting strategies. This is especially important where these changes impact the reliability, consistency or comparability of data over the lifetime of the PMF.

Draft Logic Model for the QRO Implementation of the Protocol

In order to facilitate future conversations on developing a logic model for the QRO implementation of the Protocol, DPRD has prepared a draft. The draft is intended to provide a sense of what kinds of outcomes, activities, indicators (etcetera) might make sense in an initiative of the type under consideration though it is in no way meant to be prescriptive.

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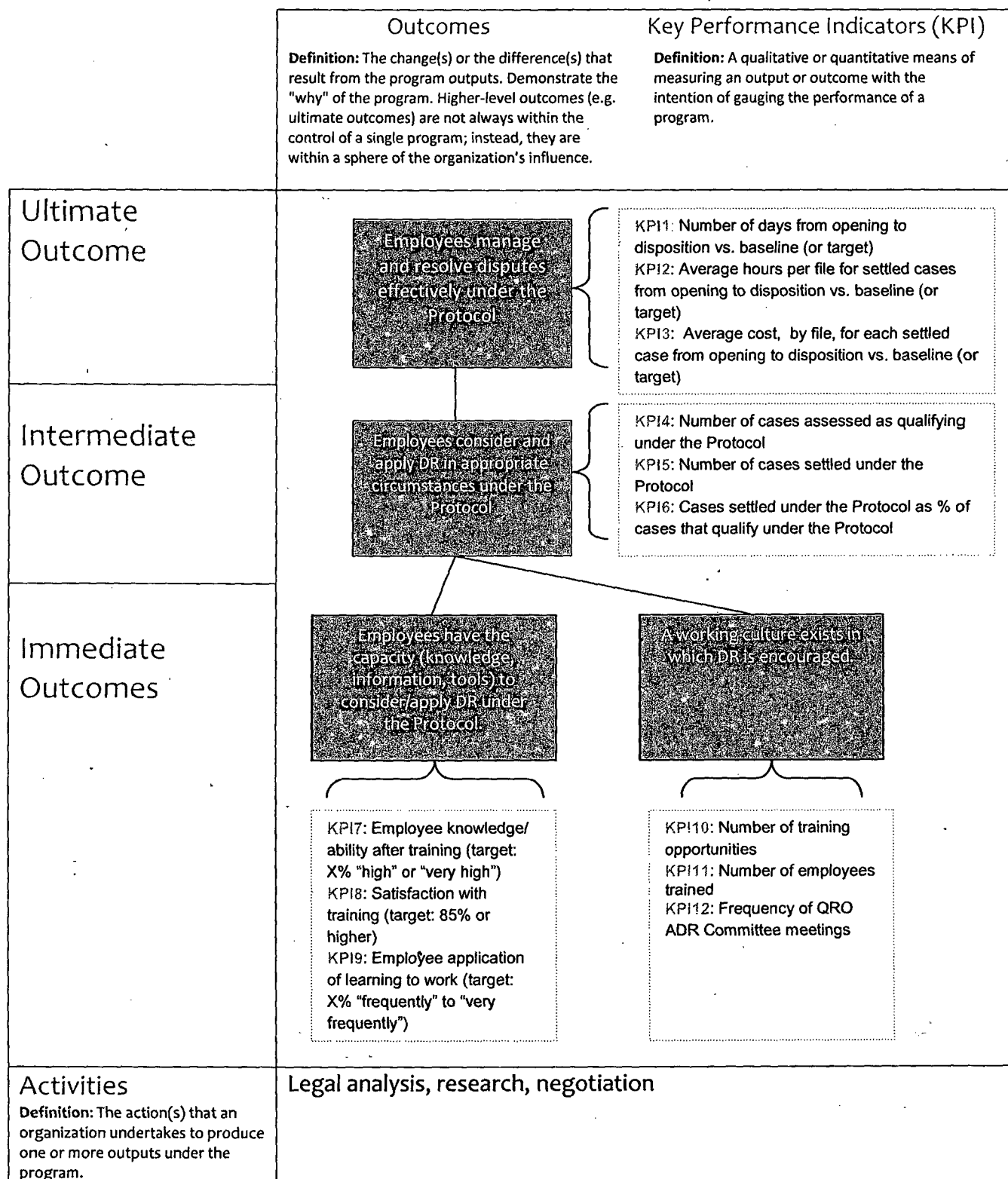
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Outputs Definition: Direct products or services generated from the activities of an organization, policy, program or initiative.	Legal Opinions, facta, pleadings, settlement agreements
Inputs Definition: Financial and non-financial resources used to deliver activities and produce outputs	Human resources (Counsel, Paralegals), research, equipment, supplies

Note all definitions from: Treasury Board Secretariat. (September 29, 2010). *Supporting Effective Evaluations: A Guide to Developing Performance Measurement Strategies*. Retrieved April 15, 2012, from <http://www.tbs-sct.gc.ca/cee/dpms-esmr/dpms-esmro2-eng.asp>.

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Part Three: Analytical Options for Selected Key Performance Indicators

There are some basic approaches that could be used to attempt to determine the impact of the Protocol and the Settlement Challenge. What follows is an outline of a number of models that could be considered for potential key indicators. It should be noted at the outset that these findings are of a preliminary nature. Each model provides a basic overview of the purpose of the particular indicator(s), the data required to support them and whether this is currently captured and available.

The following deals primarily with quantitative analysis of the Protocol; however, the potential for qualitative analysis and subject self-evaluation by staff in the QRO should be considered to provide context and a more nuanced analysis. There may be considerable information to be gleaned through surveys, focus groups and informal discussions, as efforts to date have illustrated. This may be particularly relevant to the QRO as their focus in implementing the Protocol is culture change, which has personal and professional connotations that hard data collection may not be adequately able to reflect.

The number of indicators geared towards efforts to "improve" settlement – however defined – are relatively finite and hence it is possible to consider certain key performance indicators for analysis at this juncture; however, as noted above, the approach ultimately adopted should flow logically from the outcomes of the initiative and hence some further discussion on the points raised above may be beneficial prior to the ultimate selection of variables to be examined as well as in determining the scope, depth and breadth of analysis required.

In terms of quantitative analysis, based on a review of existing documents and discussions with staff in the QRO it is assumed that key indicators could include:

- ∞ rate of settlement (settling more files);
- ∞ time to disposition (settling quicker);
- ∞ level of effort (settling more efficiently)

In theory, a basic analysis of these variables is relatively simple; however, gaps in data and methodological questions may present some significant challenges. Within the following models, each indicator is colour-coded to denote whether the indicator is currently available (green), current available but with gaps or potential issues of reliability (orange) or not currently available (red).

Lastly, it should be noted that all of the following models are based only on *closed files* as core data elements can only be captured once a case has reached this stage.

1. Rates of Settlement

An issue that will arise in building the appropriate indicators to track performance data on the number of settlements is the proper dissection of the case inventory into its constituent elements. Determining the performance value of the rate of settlement requires an explicit or implicit **measure of saturation**. This refers to the ability to determine the number of cases to which the Protocol could have been applied and then tracking the number of cases *actually* settled. Without this measure tracking the overall number of settlements has limited value in and of itself. While a year over year increase or decrease may indicate a related increase or decrease in performance, this relationship cannot be assumed as this may be caused instead by, for instance, a simple increase or decrease in the number of cases that fall within the auspices of the Protocol. A simple solution to this is to capture both the overall number of settlements as well as a measure of the number of settlements as a percentage of cases that qualify under the Protocol.

Indicators & Supporting Data Requirements	
General Procedure (Category A)	Informal Procedure
Number of cases	Number of cases
Number of cases that qualify under the Protocol	Number of cases that qualify under the Protocol
Number of cases settled under the Protocol	Number of cases settled under the Protocol
Cases settled under the Protocol as % of cases that qualify under the Protocol	Cases settled under the Protocol as % of cases that qualify under the Protocol

Considerations:

- ∞ While the Protocol applies to General Procedure (Category A) and Informal Procedure files, there are several exceptions to this; consequently, the rate of saturation cannot be derived using only these two categories and the number of settlements. Discussions with colleagues in the QRO indicate that at present there is no formal mechanism to track whether a case falls under the Protocol.
- ∞ The number of cases identified as General Procedure Category A may be misleading as the decision regarding which category cases fall under is made by the taxpayer. QRO staff noted that it is common for cases to be misfiled. At present, in the absence of a mechanism to review these cases, there is no way to ensure that this number is correct. For the purposes of any analysis, this anomaly should simply be acknowledged from the outset. Further, this would tend to support a separation of Category A and Informal Procedure cases in reporting results as these same concerns do not arise within the latter segment of the inventory.

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- ∞ Another sub-category could be considered within this grouping: “cases deemed appropriate for settlement” as a subset of cases that qualify under the Protocol.

2. Time to Disposition

Time to disposition is a relatively straight-forward indicator and refers to a simple measure of the time elapsed between the intake of a file and its resolution. There are, however, a few considerations that arise mainly as a result of current data configuration.

Indicators & Supporting Data Requirements
General Procedure (Category A) / Informal Procedure
Date Opened
Date of Disposition
Date Closed
Number of days from opening to disposition (but see below)

Considerations:

- ∞ Currently, iCase does not support a “day count” for measuring time to disposition but rather tracks cases by “age of inventory”. This measure tracks the number of cases that fall within a series of categories (less than 3 months, 3 to 12 months, 12 to 18 months etcetera). This may not be an appropriate measure depending on the average duration of cases as it would only be able to capture significant changes in time to disposition that may be at odds with the average lifespan of the cases under consideration.³ For this reason, this measure is not recommended.
- ∞ iCase does currently track opening, closing and disposition dates; consequently, it is possible to construct a “day count” from this data though this would appear to require manual compilation (more conversation with Business Practices Division and staff familiar with iCase in the QRO may lead to technical solutions to this problem).⁵
- ∞ A determination on whether to use the date of disposition (i.e. the date on which the file is actually settled) or the date of final closure as the end point is required. In general, it is likely advisable to use the date of disposition, rather than the date of closure, as the latter is often varied as a matter of administrative pressure and practice.

³ It is assumed that General Procedure (Category A) and Informal Procedure cases would be analyzed and reported separately for reasons described above; however, as the indicators and data to support this are identical they have been grouped together for simplicity.

⁴ Preliminary data (see Annex A) indicates that the average time to disposition in these files is 118.5 days.

⁵ As an alternative many “date to date” utilities can be accessed free online that will calculate the intervening time between two inputted dates. While this requires some manual date entry, it does speed up the process considerably.

3. Level of Effort

A basic analysis of level of effort is again relatively simple and refers to tracking and compiling the number of hours logged against the file by Department of Justice staff in resolving the files in question. This data can be expressed in a variety of ways (average hours by predetermined reporting period, by hour, by cost and many others).

Indicators & Supporting Data Requirements
General Procedure (Category A) / Informal Procedure ⁶
Hours, by file, for each settled case from opening to disposition ⁷
Average hours per file (per predetermined reporting period) for settled cases from opening to disposition
Hours, by file, for each settled case from opening to disposition by occupational group and level
Cost, by file, for each settled case from opening to disposition by occupational group and level (being hours X appropriate cost recovery rate)
Average cost, by file, for each settled case from opening to disposition by occupational group and level (being hours X appropriate cost recovery rate)

An analysis of level of effort also allows for the measurement of potential cost efficiencies given the cost recovery nature of Justice services that might nuance the analysis or even potentially lead to slightly different conclusions than calculations of raw hours alone. As the interest of the client in the Protocol is presumably partly motivated by increased financial efficiency, this may be a measure worth exploring.

Considerations:

- ∞ Attempts to date to compile level of effort over the lifecycle of cases in other initiatives have proven to be moderately to extremely challenging, depending on circumstances. This is due in part to limitations on the data extraction and data compiling methods readily available in headquarters. Data from Echo⁸ can be provided for level of effort; however, this data is restricted to level of effort by reporting period (ie. By quarter or fiscal year) rather than over the lifecycle of a case. DPRD is

⁶ It is assumed that General Procedure (Category A) and Informal Procedure cases would be analyzed and reported separately for reasons described above; however, as the indicators and data to support this are identical they have been grouped together for simplicity.

⁷ Subject to the same consideration of whether to utilize the date of disposition or the closing date is required as noted above.

⁸ Echo is data utility of the Business Practices Division of the Law Practice Management Directorate that allows BPD Business Analysts to extract data based on iCase input.

currently working with BPD to explore options to easily compile full level of effort data on cases, or grouping of cases, however, this work is still ongoing. For the present purpose, given the relatively small number of cases, this presents only a modest barrier as even in the worst case scenario manual compilation of this information from iCase should be possible.

- ∞ A potentially important consideration in looking at cost is the determination of the form in which results are presented. Expressing level of effort in dollar terms requires factoring the occupational group and level of staff implicated in the file and consequently adds a number of steps to the process to derive results.
- ∞ If a cost approach is desired an additional consideration is engaged: whether this should be expressed in salary dollars or cost recovery rates (or potentially both) since this has a potentially significant impact on overall savings.⁹

4. Comparative & Baseline Analysis

The above 3 models are the most basic approach to capturing certain key variables; however, they do not in and of themselves necessarily capture all relevant considerations of assessing the effectiveness of the Protocol or Settlement Challenge. In the simplest terms, judging if, for instance, the Protocol leads to faster settlement can only really be answered by asking: faster than what? This in turn, requires some external or internal comparator group.¹⁰ What follows is a very brief discussion on this topic.

A more complicated, and potentially more meaningful, analysis would seek to compare files subject to the Protocol with a representative sample of similar cases not handled within the Protocol. In an ideal world, a comparative analysis would be done using a **true control group** in which two identical grouping of cases would be randomly assigned to either the standard process or the Protocol process and handled simultaneously. As this type of analysis is not possible at this stage given the two grouping requirements – nor perhaps is this level of methodological rigour required for the present purposes – another approach that can be adopted in single grouping analysis is to use historical data on like cases as a baseline comparator. This is a **before and after** analysis and reflects the most

⁹ The difference between salary and cost recovery rates can have a significant impact on the results of a cost analysis. For instance, the salary differential between an LA-1A and an LA-2A is approximately 33% in salary (using cost recovery “salary” component; based on actual rates of pay this figure is 29%, excluding performance pay, at the highest end of the pay scale). This difference is only 22% based on cost recovery rates. This impact is even more pronounced when factoring in differences as between occupational groups (ie EC vs. LA) where in some cases higher salaried positions have lower cost recovery rates (as, for instance is the case between an EC-07 and an LA-1A). (See Annex C: 2011-2012 Corporate Discounted Rates to the Memorandum of Understanding; note, however that this is purely illustrative. More information on the precise cost recovery relationship between the Department of Justice and the Canada Revenue Agency would be required for the present analysis).

¹⁰ It should be acknowledged from the outset that – once more – the necessity and meaningfulness of this analysis can only be determined vis-à-vis the goals that are established from the outset for tracking and verification. For instance, a goal such as: “to ensure that DAF counsel employ the Protocol appropriately and effectively”, would not per se require us to consider a pre-Protocol comparator group. The comparator in such an instance could be year over year data of a variety of predetermined indicators (linked to “appropriate” and “effective”) only concerned with cases dealt under the Protocol. In such an instance, “success” could be a year over year increase (expressed in terms of “saturation”) up to some determined target or perhaps targeted levels from the outset.

practical approach to be adopted in the present instances. Some caveats on interpreting the results of a *before and after* analysis are required. Because this approach is not subject to the same sort of experimental design rigor as a control group design, it may be harder to identify and eliminate contextual changes over time that might impact the results of the analysis as intervening variables not attributable to the Protocol. Some discussion with counsel in the QRO would be advisable to ensure that we identify any potential changes that have occurred that might have impacted the treatment of these files over time *within the historical comparator data set itself*.

It should also be noted that the use of historical data to build comparator data will both exaggerate any flaws in the data that exist and will also likely increase the level of effort and complexity of the analysis. The benefits of conducting this kind of analysis will need to be weighed against the work involved. Moreover, because of existing gaps in the data set a *before and after* analysis is subject to a number of limitations in the present context due to the inability to construct the proper comparator groups for all measures.

It should be noted that to date DPRD has not fully canvassed this issue as it requires in-depth assessment of the state of historical data, though some preliminary consideration has been given to the matter. In general, at least 3 years of data prior to the implementation of the Protocol would likely be required. Until a review of the data is undertaken to assess its reliability and completeness, some conjecture is required, but it is potentially possible to construct some comparator data along the following lines:

Rates of Settlement	
Indicator	Historical Data Available?
Number of cases	YES
Number of cases that qualify under the Protocol	NO
Number of cases settled under the Protocol	N/A
Cases settled under the Protocol as % of cases that qualify under the Protocol	N/A
Number of cases settled	YES; however, in order to be as comparable as possible it would be beneficial to have these screened to eliminate cases that would not have qualified under the Protocol has it been in force at the time but this may prove to be time consuming depending on the number of cases.
Time to Disposition	
Date Opened	YES

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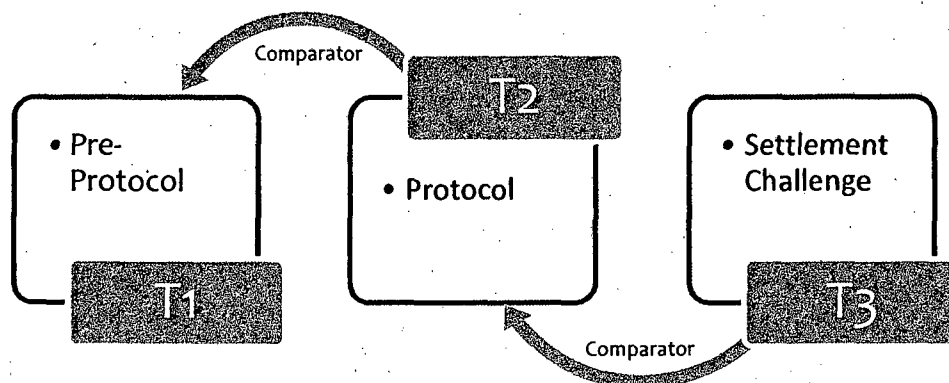


Date of Disposition	YES
Date Closed	YES
Number of days from opening to disposition	YES; however, would be subject to same requirement for manual tabulation as noted above.
Level of Effort	
Hours, by file, for each settled case from opening to disposition ¹¹	YES; subject to same concerns and constraints noted above in the discussion on level of effort.
Average hours per file (per predetermined reporting period) for settled cases from opening to disposition	YES
Hours, by file, for each settled case from opening to disposition by occupational group and level	YES
Cost, by file, for each settled case from opening to disposition by occupational group and level (being hours X appropriate cost recovery rate)	YES

Separating the Protocol and the Settlement Challenge

One issue that arises in the context of thinking about comparative analysis on this initiative is how a to what degree it is possible or desirable to isolate the Protocol from the Settlement Challenge. In other words: are we looking at these as one unity or are we seeking to establish (1) The effectiveness of the Protocol and (2) the effectiveness of the Settlement Challenge as separate analyses. While there is some theoretical merit to this latter approach, there may be practical barriers to achieving this. For the moment; however, it is sufficient to note that if this is desired, then a multi-tiered approach to the comparative analysis is required.

¹¹ Subject to the same consideration of whether to utilize the date of disposition or the closing date is required as noted above.



This would focus on attempting to isolate the impacts of the Protocol and the Settlement Challenge by comparing:

- ∞ the period between the introduction of the Protocol and the Settlement Challenge (T2) with a sample of cases prior to the Protocol (T1)
- ∞ The period after the introduction of the Protocol (T3) with both T1 and T2

Again, a decision on this issue relates back to the genesis consideration of the overall goals and outcomes we are seeking to demonstrate and consequently additional clarity is likely required.

Utilizing a Theoretical Model

As an alternative or complementary approach, it would be possible to build a **theoretical comparator model**. This would provide a point of comparison to data reached with the use of actual historical data and fill gaps where such an analysis is not possible or where the level of resources required outstrips its utility. This is arrived at by developing a “reasonable” model of level of effort based on the input of experienced counsel and using this as a baseline against which we can compare the results of the cases settled under the Protocol. This would require the participation of and input from experienced counsel in the QRO to assist with developing the models. Note that while this approach is of less analytical value than other comparator models, it nonetheless has some weight in terms of presenting a set of reasonable expectations and then measuring performance against these pre-established norms. Further, if so desired, a theoretical model can serve as a formal or informal set of measures to develop **service standards and targets** which could be of potential independent value as performance and quality assurance measures going forward.





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**New Service Delivery Model Pilot Project between the
Dispute Prevention and Resolution Division (DPRD) and the
Quebec Regional Office (QRO)**

**INTERIM REPORT
May 2012**

Background

As a part of Strategic and Operating Review (SOR), DPRD proposed a three year pilot project starting in September 2011 to be conducted by DPRD and QRO in order to demonstrate Justice's adaptability in a new "innovation-based" and "cost-reduction" world.

The fundamental goal of the project is to demonstrate that strong linkages between Ottawa and regions will generate dispute resolution (DR) initiatives through which files can be appropriately managed, resolved more easily and quickly and at a reduced cost when expert knowledge from Ottawa is combined with the practical expertise of regional staff (see Annexes A at Tab III and B at Tab IV).

In addition to satisfying the request for SOR proposals to show how JUS can work in new ways, this project gave DPRD and QRO the opportunity to address many outstanding issues with a single project, including:

- QRO's need for DR Coordination (after the former QRO DR Coordinator [REDACTED])
- DPRD's need to continue the development of a Performance Measurement Framework in response to the 2007 Office of the Auditor General Report which recommended that Justice clearly define each DR initiative's objectives, estimate potential cost savings, and ensure that it formally reviews the outcome of initiatives against their objectives; and
- The need to respond to Law Practice Management.COM's 2009 endorsement of a recommendation to have regional DR coordination nationally and use the QRO model as a reference.

The Project Charter (see Annex C at Tab V) planned for an initial interim report in June 2012 with recommendations on proceeding with year two and three of the project. Budget 2012, the interest of other regions to participate in the project, the increase demand for DPRD services in light of cuts, and the early positive results of the project prompted DPRD to present the report earlier than planned.

DPRD is using this opportunity to provide a status update, make recommendations on the future of the project and to seek approval to continue with the remainder of the project as soon as possible as this project is aligned with principles of the current Economic Action Plan.

Summary of Pilot Project Activities:

A comprehensive series of activities were undertaken in this first year, which have lead to positive results (see Annex D at Tab VI) for a detailed description of activities). Highlights include:

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- A settlement project (called the "Settlement Challenge / Défi règlement") with the QRO tax group was undertaken and is showing preliminary data results towards DPRD's DR performance measurement framework.
- Various legal opinions were submitted on different subjects (e.g. [REDACTED]).
- DPRD was able to represent QRO on many occasions with bar associations, law faculties and at conferences, including an international conference organized McGill University on the *Commercial Arbitration Act*.
- Strong professional and information sharing linkages were established.
- Successful training sessions were provided in the QRO which allowed DPRD to interact with QRO lawyers and clients in the context of their practice.
- Coordination of a small DR working group reporting to Claude Joyal, Senior General Counsel, QRO's group on the *Avant projet de loi sur le nouveau Code de procédure civile*, which emphasizes dispute prevention and resolution. DPRD was able to provide key input on the impact of this new legislation on the QRO's practice. A draft report is being drafted (see Appendix 5 of Annex D at Tab VI).

While much progress has been made, significant work is currently planned under the project. The remaining time expected in the QRO for year one (present to August 2012) will be devoted to the following activities in order to finalize and document the first year of the project.

- Briefing QRO directors of the survey results (only RDG and his team have been briefed);
- Implementation planning of the DR services identified in the survey for QRO litigators;
- Analyzing the DR survey results and making recommendations on additional work;
- Implementing minimal DR services for notaries;
- Finalize the performance measurement draft report with QRO tax directorate;
- Prepare recommendations for the QRO tax directorate aligned with recommendations to the portfolio on settlement projects and systems (expected this spring);
- Prepare training in partnership with the Quebec Superior Court and Quebec bar association;
- Prepare DR training series and curriculum for delivery in the QRO in Fall 2012;
- Finalize report on the *Avant projet de loi sur le Code de procédure civile*;
- Directly apply existing approved DR tools (e.g. guides, compilations, toolkits) to QRO files; and
- Continue to make linkages between QRO projects, files and initiatives and DPRD's ongoing implementation efforts of the Performance Measurement Framework. The QRO project is an important testing ground to inform DPRD's work. DPRD's goal is to maximize every possible opportunity in the pilot project to gain insights into regional DR practice, management needs, data and inventory management examples, priorities, goals and operational realities and, in turn, to incorporate these into the assumptions, tools and mechanisms which form part of DPRD's Performance Measurement work.

Many of these activities are not stand-alone nor have a firm end-date. Many activities will grow and evolve over the multi-year pilot project and beyond. Therefore, continuation and consistency of the multi-year pilot project is key to its ultimate success.

Resources from QRO

The QRO invested portions of the time of one LA-2A, two administrative assistants, business analysts in the tax directorate, as well as the time of directors, team leaders, the Regional Director General (RDG) and the Assistant RDG. DPRD and the project has also benefitted from a pre-existing linkage with the QRO through an existing LA-2A assignment-in from the QRO. All employees involved gave DPRD the time needed to work on the various activities and it was much appreciated. This project needs the time of DPRD and QRO resources to be successful.

Resources from DPRD

The DPRD Director (LA-3A) and other staff, including an EC-08, LA-2As, A/EC-07 and an EC-03, divided their time between Ottawa and Montreal. The need to balance DPRD's presence in both cities with managing costs was carefully considered and achieved through selection of accommodation and mode of transport. DPRD was able to balance the pilot project with its regular national and other work in Ottawa, and has delivered successfully on other projects. Further, DPRD staff has been motivated by the project, and the positive effects in the workplace have been seen, which is especially important after several years of difficult issues.

Pilot Project Governance:

DPRD's Director had regular meetings with RDG Francisco Couto, and Associate RDG Michel Synnott, and QRO managers through staff and management meetings.

Michel Francoeur, Director General, Law Practice Management Directorate (LPMD), and the LPMD management were informed at weekly meetings. Michel Francoeur has in turn offered updates to Joel Oliver, A/Assistant Deputy Minister (ADM), Management Sector.

The National Consultative Group on DR Avenues was also frequently briefed on the progress as by DPRD Director and co-chair. The DR Practice Group also received regular updates. DPRD staff tracked, filed and documented the project activities and managed information and budgets on a daily basis. The Director of DPRD has been available to deal with DPRD matters (e.g. individual meetings, PREAs, staff meetings) as promised. The DPRD management structure including the establishment of an EC08 Deputy Director in August 2011 has worked very well and has helped ensure directions are assigned and follow-up on properly and consistently.

Budget:

The original approved one year (September to September) cost of the project was \$28,200, to be split over two fiscal years. In 2011-12, DPRD stayed within its limit. Approximately \$19,000 was spent on the first part of year one of the project (September 2011 to March 31, 2012).

DPRD's 2012-13 travel cap (\$29,500) and preliminary partial 2012-13 budget allocation contain sufficient funds to cover the necessary \$9,000 for the remainder end of year one and the anticipated \$19,000 needed for the first part of year two (September 2012 to March 31, 2013). DPRD will still strive to reduce the cost of year two even further. If approval to continue the project is received early enough, employees may be able to make personal arrangements that would limit or end travel costs.

Last year, DPRD was also able to align activities that it would still have done with the QRO in the absence of the project, but which served to add efficiency by "doubling-up" travel costs, meetings

and staff assignments to also cross-reference with, and compliment the pilot project (e.g. Code de Procédure Civil, Tax / Canada Revenue Agency project, data collection for performance measurement).

Pilot Project Analysis:

The project received an early endorsement with a letter from the QRO RDG to the A/ADM of Management Sector (see Annex E at Tab VII). Positive results were seen as early as the first weeks. DPRD was immediately able to follow-up on initiatives undertaken by the former DR coordinator who retired in April 2011 without a successor. This was important for DPRD since the QRO had the most elaborate DR services model already in place. Relationships with regional management and directors were established rapidly. These relationships helped diffuse some of the anxiety regional lawyers were showing regarding the pilot project. Intervention from Ottawa is not always seen favourably, and some lawyers see such intervention as controlling and diminishing the role of regions. Some lawyers raised issues regarding previous DR services and expressed their need for different or specific services. After meeting with all lawyers in the directorates to explain the goal of the project and answer questions, the goal of the project was made clear and was ultimately well received.

The feedback during the process of explaining the pilot project lead DPRD to survey all regional jurists and paralegals on to see what kind of DR Services are needed, and how these could change from the past services in the region to meet their needs (see Appendix 4 to Annex D). The results of the survey revealed that DR services are needed in all directorates. Examples of services across the regional groups include: an inventory of best practices, basic DR training and advanced training in negotiation, and coaching. Further specialised service needs were also identified by specific directorates. The survey results are the basis of establishing a list of priority for the services to be put in place and shows that DR services are needed and required in the QRO. We have concrete proof from the survey that DR is useful to practitioners and that the survey shows us real projects we can move forward for development and implementation.

It was soon evident that the pilot project was vital for DPRD to show ways Justice can innovate and change the way it works as information was made public on SOR and the Deficit Reduction Action Plan. DPRD has been informed that limited resources would be available in the very near future. Finding more efficient ways to deliver DR services needs to be done as soon as possible. The objectives of the pilot project to innovate, change and work in new ways are directly aligned with the objectives of the Budget 2012-related initiatives.

It also became very clear from the outset that the close working relationships developed during the project would help DPRD's progress on the DR performance measurement framework (PMF). Testing of the PMF was always planned for regions, but the pilot project has allowed DPRD to better formulate assumptions and needs by gaining important on-the-ground input from practitioners and managers at the working file level.

Overall, the pilot project has been a success for DPRD and QRO to date, because:

- It provided continuity and transition after the early retirement of the previous regional coordinator and maintained an important link for DPRD into the region;
- Allowed QRO to maintain DR services that existed for a number of years and were appreciated and needed;
- Important corporate and legal knowledge and work was not lost;
- Library resources, legal opinions and files from the QRO has been transferred into DPRD's

- knowledge management system;
- Allowed QRO to continue DR activities with the law societies and associations, Universities and *l'Institut de médiation et d'arbitrage du Québec*;
 - DR Coordinators job description at a national level were reviewed to inform eventual recommendations on a standard/generic description;
 - Regional staff was initiated to DR and allowed to contribute;
 - QRO participation in national DR working groups was enhanced and coordinated;
 - DPRD's assumption and belief that DR services are needed has been proven by the results of the survey conducted;
 - The QRO has been very open to DR and innovation;
 - Being on site allowed the project to progress more rapidly than being only in Ottawa;
 - DPRD was able to collaborate in specific projects with the QRO tax directorate and develop a preliminary performance measures framework;
 - DPRD now has better insight into specific portfolios (e.g. tax where national and regional DR efforts are now combined and more efficient);
 - DPRD was able to manage and coordinate a sub-working group reporting to Me Claude Joyal on proposed amendments to the Quebec *Code de procédure civile*. This group is mandated by the RDG to present result recommendations for how the QRO can adjust its practice should the new rules come into force;
 - Legal opinions were provided to QRO by DPRD (e.g. commercial law);
 - DR training was provided to QRO lawyers and clients in two law areas: *Negotiation in an Intercultural and International Context*, (one session) and Interest-Based Negotiation in Tax Litigation Files (four sessions);
 - Links were made with the Quebec Superior Court regarding DR training for articling students on (e.g. *conference de règlement à l'amiable*);
 - Links were made with Quebec Superior Court for DR training with the Quebec bar associations and the QRO;
 - We now have concrete files, activities and deliverables; and
 - Achievement of an integrated perspective linking DPRD, portfolios, sectors, and regions.

Conclusion:

A key goal of the project is to ensure that regional staff, litigators and legal services unit counsel can be self-sufficient in using DR, and are supported by a reduced DPRD responsible for national coordination and provision of tools, information, training and advice to the network of DR specialists in regions. The pilot project has reinforced that DR is necessary and required for the cohesive and effective practice of quality legal service.

Justice clients, private firms, experts, universities, courts, provincial and international governments are placing an increase emphasis on DR and so should Justice. Failure to do so may lead to clients taking DR in their own hands without support or advice from Justice DR experts, resulting in inconsistent DR practices and a lack of cooperation and integration.

Collaboration between headquarters and regions is necessary. DR initiatives need to be managed and assessed in a coordinated way. With court rules amendments (e.g. Alberta, Quebec, Federal Courts) putting emphasis on DR it is essential that Justice be able to provide appropriate legal services to the government. This project addresses all of these elements and the needs to continue.

DR initiatives can allow files and inventories to be better managed, resolved more easily and quickly

and at a reduced cost and with better value. However, to operationalize this, resources are still needed for DPRD. Given budget constraints, and that DPRD resources will be reduced and this reality emphasises the need to find a solution to this dilemma. Part of the solution is the work that DPRD has already undertaken in its human resources plan and in 2011-12 staffing decisions to reduce salary expenditures (e.g. adjusting the mix of LA and EC positions to better aligning groups and levels to work needed, and using lower-cost groups where possible).

The pilot project and DPRD's mandate is aligned with departmental renewal. As a part of SOR, self-reflection and analysis, and following various lawyers and client's surveys, DPRD proposed this project in order to demonstrate Justice's adaptability in a new "innovation-based" and "cost-reduction" world. The ultimate goal is to show that DPRD is especially pertinent when faced with limited resources because it can provide ways to reduce costs, inventories and make strategic management decisions to prevent or resolve disputes. DR can also contribute to access to justice and public legal education.

Recommendation:

In light of Budget 2012, early positive results from the pilot project, and interest of other regional offices to collaborate with DPRD and to participate to this project, it is recommended to pursue the remainder of the DPRD-QRO pilot project, even with reduced resources. Involving other regional offices (such as Ontario and Prairies) at this early stage is crucial to have a national perspective as soon as possible. It is anticipated that despite reduced resources, appropriately scaled projects from other regions can be brought into the pilot project without an increase in travel or other costs. It is not anticipated that the inclusion of other regional projects would dilute the pilot parameters (e.g. governance, management coverage, etc.).

If approved to continue, DPRD will seek to reduce project costs even further and to accelerate making recommendations for a new service delivery model designed to improve the use, quality, efficiency and effectiveness of dispute resolution (DR) services in Justice. Approval to continue with the project now would allow DPRD staff to make personal decisions which could further eliminate a significant portion of the travel costs.

Decision Sought

To obtain ADM approval to continue with the pilot project (i.e. September 2012 to March 31, 2013) at a cost lower than the originally anticipated \$28,200, and in keeping with the Project Charter and other on-going evaluation and reporting commitments. DPRD will seek to accelerate and/or link to other regions in order to increase project results. Further Interim Reports will be provided per the project plan or as requested or required.

Approval is sought as soon as possible and preferably no later than June 15, 2012, so that employees can pursue personal arrangements which are expected to contribute to reduced travel costs.

AGENDA Meeting with ADMO May 30, 2012

Introductory remarks Michel:

DPRD is needed and pertinent for post Strategic and Operating Review (SOR) in Justice

DR initiatives allow files to be appropriately managed at a reduced cost. DPRD's current mandate and reduced work force is aligned with the renewal of JUS. Increased demand for DR services is proving our pertinence. However, DPRD resources will again be reduced and this reality emphasises the need to find a solution to this dilemma. As part of SOR, analysis, and various surveys of lawyers and clients, DPRD proposed the QRO project in addition to its regular mandate. This project demonstrates JUS's adaptability in a new "innovation-based" and "cost-reduction" world and allows DPRD to continue to be useful with even more limited resources.

Issue 1: Regional interest in the QRO Project

- ORO, PRO and NCR have shown interest in this pilot project. Our goal was to include other regions in the last year of the project. However, SOR has increased the demand for DPRD services and other regions have sought our expertise in the first year of the project. Extra efforts were made by DPRD to respond to other regional requests for services in the implementation phase of the project.
- We received various mandates from the PRO, BCRO and NCR in the last year such as legal opinions, research, training to litigators and clients in specific areas of law.
- Based on our experience to date in the QRO, we believe it would be useful to now include the perspective of other regional offices in the pilot project.
- Adding other regions will not increase project cost or DPRD funding needs.
- We are asking regions to allocate resources at LA-2A and business analyst levels because DPRD will not be able to satisfy the increase demand for our services.
- We plan to continue to use videoconferences, reduce travel expenses to a minimum and remain within allocated budget.

Issue 2: Interim report on QRO Project

- An initial interim report was expected in June 2012 with recommendations on continuing with the project. DPRD was prompted to present an earlier draft of the report for the following reasons:
- March 29, 2012 federal government budget;

- interest of other regions to participate to this project;
- increase demand for DPRD services in the context of the deficit reduction exercise;
- early positive results of the project;
- we are well on with the testing of our performance measurement framework, data is available and a preliminary report has been presented to the QRO Tax directorate;
- QRO is supporting continuance of the project; and
- obligation to reduce travel cost to a minimum and personal decisions that need to be taken by employees as soon as possible.

A draft of the report is attached to this document in a binder.

Issue 2 b: Travel cost to date

- DPRD managed to stay within allocated limited budget. Costs have been kept to a minimum and different approaches have been taken to do so.

Issue 3: Process Optimization Working Group

- When discussing PRO's involvement in the QRO pilot project with Paul Shenher, it was brought to our attention that the Process Optimization Working Group is looking at DR initiatives.
- Unfortunately, this working group was not aware of DPRD's different DR initiatives and that we had produced statistics that show cost reduction when using DR. Jonathan Allen will now be a member of this working group.

Issue 4: Meeting with Yves Côté and Myles Kirvan

- We have raised the importance of briefing Yves Côté and Myles Kirvan on the impact DR could have pre and post SOR several times recently.
- The recent changes to DPRD staff, mandate, the increase demand for DR services and the interest of other regional offices to the QRO project highlights the importance of briefing them.

Issue 5: Briefing Assistant Deputy Attorney General, Litigation

To inform him of the QRO project which we believe goes in the direction he would like to take:

- DPRD and RDGs agree that ideally leaving DR to litigators would be part of the solution.
- The goal of the QRO project is to develop, refine and test a model which could ultimately be the basis for establishing DR specialist-coordinator positions in regional offices.
- Past experiences and surveys of our lawyers and clients have shown that DPRD is needed and required to have a cohesive, effective DR practice for now. The DR Consultative Group long term work plan is also proof of this.

- Litigators and DLSUs will need to work in a systemized, integrated manner to collect DR information.
- Measuring DR efforts is an intrinsic part of deficit reduction process.
- Without a small national coordinating group in Ottawa and strong DR representatives in litigation areas and DLSUs, JUS will not be in a position to deliver high quality legal services to clients. Justice clients, private law firms, experts, universities, courts, provincial and international governments are placing increased emphasis on DR and so should we. Failure to do so may lead to clients taking DR in their own hands without proper JUS expertise or support. JUS employees, experts in dispute resolution need to be leaders in this area and work with clients to provide unsurpassed service to the government and citizens of Canada.

Pilot Project: Dispute Prevention and Resolution Division and the Quebec Regional Office

June 25, 2012 A/ADM Briefing AIDE MEMOIRE

On May 11, 2012, DPRD submitted an interim report for the pilot project and a binder providing details on resource usage, governance, activities, analysis, findings and recommendations. This document is an *aide-memoire* for discussion of the report and binder.

During Summer 2011, as a part of Strategic Operating Review, DPRD proposed a pilot project with the QRO to demonstrate how "front line" DR expertise can be combined with advice, support, and coordination from DPRD in Ottawa to better promote, apply and measure DR at Justice. The pilot project was approved by the A/ADM and began in September 2011.

The objective of the project is to develop recommendations and options for:

- the establishment of DR specialists in regions, under RDGs and Civil Litigation's responsibilities, embedded with the litigators and managers responsible for files
- the scope of work, tasks and roles such a regional function could play
- the structure and support/coordination function of a new reduced DPRD at headquarters
- how the new "network" of regional specialists could be coordinated and supported with standardized information and tools, training, and advise and system design from DPRD
- how performance measurement of DR will be done overall
- ensuring that components of performance measurement (e.g. tools, metrics, etc.) meaningfully and accurately align with actual operational "on the ground" work. The QRO project is an important means of generating files that will be measured.

Essentially, the report concludes that there is:

- a desire for increased regional capacity and support to allow self-sufficiency for delivery of DR projects/files by litigators/regions
- a need for support from DPRD on these functions (e.g. info and tools, training, specialized advice)
- a need for assistance in supporting performance measurement of DR initiatives
- a range of DR initiatives happening and being developed in the region

In light of early positive results from the pilot project, and regional interest, it is recommended to pursue the remainder of the DPRD-QRO pilot project even with reduced DPRD resources.

The interim report requested a decision to continue and complete the project (September 2012 to March 31, 2013). Given the recent acceleration of the Performance Measurement project to end December 2013, we now see a benefit in synchronizing the QRO pilot to end at the same time to ensure components of both projects are realistic and relevant. Options have also been prepared to reduce the cost of the project.

DPRD has also recently examined its other priorities (i.e. the performance measurement project and OAG response), what other core activities can be stopped or suspended, and developed reduced resourcing model options for the future. The remainder QRO project can be completed while still delivering on the performance measurement project.

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**An Update on Initiatives and Strategic Plan of the
Dispute Prevention and Resolution Division (DPRD)**

Presented to Joel Oliver, A/Assistant Deputy Minister, Management Sector

For Information and Discussion

May 11, 2012

Presenters: Michel Francoeur, Director General and Senior General Counsel, Law Practice Management Directorate
Danièle Ménard, Director and General Counsel, Dispute Prevention and Resolution Division

**Law Practice Management Directorate
Direction générale de la gestion de la pratique du droit**

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Outline

Introduction

DPRD Vision, Mandate and Role

DPRD Organizational History

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Introduction

This purpose of this briefing is to describe the evolution, work and future strategic direction of DPRD by:

- Showing how DPRD has overcome and responded to recent pressures and challenges
- Featuring current achievements, progress on important files and innovative new ways of working
- Presenting an outline of DPRD's strategic objectives
- Highlighting the benefits of dispute prevention and resolution (DR) to Justice (JUS) and the Government of Canada as a whole
- Discussing the integral role of DR in doing business in a period of fiscal restraint



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DPRD Vision, Mandate and Role

Vision: Meeting the needs of the Government of Canada through the effective prevention, management and resolution of disputes

Mandate: To provide leadership and support to the Department of Justice and its clients by focussing on the long term prevention and early resolution of disputes

Role: To promote a greater understanding of DR including the use of appropriate DR processes, and to assist in the integration of DR into the policies, operations and practices of departments and agencies of the Government of Canada, Crown corporations, federal tribunals and administrative agencies, and federally constituted courts

DPRD is also responsible for the *JUS Policy on Dispute Resolution*, which affirms the responsibility of each JUS employee to prevent disputes from arising, and where they do arise, to address them as early and effectively as possible



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DPRD Organizational History

- Dispute Resolution Services was established in 1992
- The JUS *Policy on Dispute Resolution* was established in 1996
- Examples of past achievements include: training in DR and workplace conflict; systems design and advisory work for the JUS Internal Conflict Management System and clients such as the Office of the Procurement Ombudsman, and work with the Uniform Law Conference of Canada on commercial mediation matters
- In 2006, as a part of a mandate review, "prevention" was added to the Division's mandate and title. Further, with the creation of the Office for Integrity and Conflict Management in the Workplace, DPRD moved away from working on workplace-conflict issues
- In 2007, DPRD was placed into the newly created Law Practice Management Directorate. The Directorate's mandate is to ensure that national policies, processes and tools are in place to support the efficient and effective delivery of legal services to government. LPMD defines, supports and coordinates the development of common legal and business practices across various law practice areas



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DPRD Current Drivers for Change

- In 2007, the Office of the Auditor General (OAG) released a report which recommended improvements to performance measurement in dispute resolution. While JUS accepted its findings, the report placed pressure on DPRD to develop new performance measurement mechanisms
 - DPRD has also faced very challenging staff turnover, labour relations, workplace conflict and organizational design issues
 - External drivers also continue to apply pressure on JUS DR activities
 - Experts (e.g. Richard Susskind) recommend that DR should be a part of rethinking the nature of legal services
 - Canadian courts are increasingly headed in this direction (e.g. quasi-mandatory and mandatory mediation and revisions to procedural rules)
 - Calls for better access to justice to reduce the delays, expense and satisfaction with legal procedures
 - Finally, the current era of fiscal restraint requires cost-effective and innovative ways to deliver services while saving money on a permanent basis
 - DPRD has faced difficulties linking its expertise and products with on-the-ground operational work
-



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DPRD's Response to Drivers for Change

The changing nature of DPRD's work and pressures from internal and external drivers has caused DPRD to seriously self-reflect recently on its future and how to move forward

- DPRD has changed and revitalized significantly in the past year and a half, and particularly in the last eight months
- Human Resources issues have been stabilized, resolved or are being closely managed
- The professional mix has been changed to balance capacity between LA and other professional groups (particularly analysts in the EC group) so that DPRD is better placed to respond to all legal, policy and reporting needs
- DPRD is working to reduce its own costs (particularly salary) and to build models to show the value of the use of dispute resolution in files to the Government of Canada
- DPRD has sought a variety of new activities and projects intended to show the value of DR



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DPRD Current Activities

DPRD groups its activities into three broad categories:

- i) Information and Tools
- ii) Training
- iii) Legal Advisory and Systems Design

DPRD has also began two Overarching Key Projects that link our activities across categories:

1. A proposed new DR service delivery model project with the Quebec Regional Office (QRO Project)
2. Development of a Performance Measurement Framework which seeks to develop performance measurement tools for DR initiatives within the federal government

The following slides highlight examples of our current activities

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DPRD Current Activities Continued

i) Information and Tools

DPRD reviews and updates DR tools and instruments such as: a drafting guide and inventory of model DR clauses and agreements for negotiation, mediation, and arbitration as well as compilation of federal statutes pertaining to DR

Highlight: DPRD has recently updated the Annotation to the Commercial Arbitration Act, updated our model clause inventory, redesigned our library of departmental DR resources and finalized a new DR Framework and Toolkit

In particular, the DR Framework and Toolkit is a premier tool with the overall objective to foster a shared understanding of DR within JUS and other client department and agencies, and to facilitate a global and integrated approach to DR activities across the Government

ii) Training

DPRD delivers a series of six introductory and advanced courses on core negotiation, mediation and arbitration skills in order to build capacity in DR. We also customize courses for JUS sectors, portfolios, and legal service units and clients

Highlight: We offered over 30 training sessions in the 2011-12 academic year, which received an overall average rating of around 90% satisfaction DPRD is currently developing and delivering courses on DR in a Tax, Aboriginal and Intercultural / International context



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DPRD Current Activities Continued

iii) Legal Advisory and Systems Design

DPRD chairs an intra-departmental consultative group which offers strategic guidance and advice on future DR avenues. DPRD also manages the JUS DR Practice Group to engage departmental counsel in the promotion of the use of DR and best practices involving their client departments. These venues are important ways for DPRD to maintain a network of counsel working in the field of DR

Highlight: Several meetings have been held to date, including discussion of DR activities and broad national matters (e.g. revisions to the Federal Courts Rules) and featuring guest speakers from the field of DR

DPRD works with departments and agencies on implementing a variety of DR program and system designs projects and best practices intended to prevent and better manage disputes involving government. Legal opinions and legislation is also developed by our division

Highlight: Increased demand for DPRD training, legal advice and DR systems design services has resulted in new projects with the Public Service Commission, the Patented Medicine and Prices Review Board, the Canada Revenue Agency, Public Works and Government Services Canada, Human Resources and Skills Development Canada, and Aboriginal Affairs and Northern Development Canada

DPRD regularly receives requests to work on various international endeavours, which enhances DPRD's services within JUS by allowing DPRD to gather and share information from various other countries and jurisdictions

Highlight: In December 2011, DPRD's Director and General Counsel traveled to Turkey at the request of various leading judges in the field of judicial mediation to participate in a United Nations Development Program workshop regarding the adoption of dispute resolution processes by the government of Turkey



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Examples of Key Overarching Projects

1. Proposed New Service Delivery Model – the Quebec Regional Office (QRO) Project

In September 2011, DPRD commenced a three-year pilot project with the QRO to test a new service delivery model. This project will develop and test a model which could ultimately see DR specialist-coordinator positions established in regional offices, linked nationally through DPRD

The fundamental goal of the project is to examine whether strong linkages between Headquarters and the Regions would generate DR initiatives through which files could be better managed, resolved more easily and quickly and at reduced cost when expert knowledge from the centre is combined with practical expertise of regional litigators and staff

During the project, the Regional DR coordinator-specialist role, responsibilities, resourcing and relationships will be evaluated

In May, 2012 DPRD drafted an interim report which reviews results to date, analyses the most efficient ways to maximize the impact and success in future years, and recommends that the project be approved to continue



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Examples of Key Overarching Projects Continued

1. Proposed New Service Delivery Model – the QRO Project Continued

The [REDACTED] is a concrete example of potential of the new service delivery model, and was done in collaboration with QRO and the Canada Revenue Agency in 2009

- Goal was to facilitate resolution of 60 similar tax appeals in a cost-effective manner
- 55 of the identified cases were resolved by a team of DPRD counsel and QRO litigators, using a jointly developed negotiation mechanism
- A DR approach resulted in considerable cost savings for the Agency

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Examples of Key Overarching Projects Continued

2. DR Performance Measurement Framework

A framework is being developed in response to recommendation in OAG's 2007 report recommending that JUS should ensure that objectives and estimated costs savings are clearly defined for each DR initiative and that outcomes are formally reviewed against those objectives

Expected Results upon completion of Framework Project:

- JUS systems in place for regular reporting on DR
- Analysis of the value of DR for internal JUS use and for discussions with central agencies
- Information to support operational decision-making on DR in the management of the litigation inventory
- Client department and agencies will have support and advice from JUS on the use of performance measurement in their own DR programs and initiatives



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Examples of Key Projects Continued

2. DR Performance Measurement Framework Continued

Key Elements of the Framework include:

- Guide to Performance Measurement in DR initiatives
- Expanded Data Collection on DR in Litigation
- Comparator Data
- Performance Data on Training and Tools
- Final Report

LPM.Com endorsed the proposed Framework in June 2011

DPRD was on-track for its 2011-2012 deliverables, which included the development of a draft Guide and a model to increase the capture of performance data for our training initiatives. The development of statistical models and comparator data is ahead of schedule

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DPRD Strategic Objectives

DPRD is tailoring its work and strategic business planning towards three strategic objectives:

1. Tools and mechanisms are in place and promoted that support the analysis and understanding of the use and value of DR within JUS
2. A clear and reliable service delivery model for dispute resolution services is developed within the Department of Justice
3. Linkages are made between best practices in DR and on the ground day-to-day operations of the department

These link to various operational objectives:

- Consultative Group
- The QRO Project
- Performance Measurement Framework
- Analysis of DR initiatives as part of the QRO Project
- Quality Assurance



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Conclusion

The QRO Project has three important linkages with the Performance Measurement Framework:

- The QRO Project will serve as "on the ground" testing to ensure that the metrics developed align with actual operational efficiencies/results in a manner that is meaningful and accurate; and
- Elements of the Framework will allow for analysis of the effectiveness of focussed DR expertise in-house within QRO which will support the evaluation of the pilot project and, ultimately, inform a determination whether the model should be adopted nationally
- The project will allow DPRD to work on multiple files and link them together strategically to show the most impact

The projects presented today are only a small selection of the important work DPRD is current undertaking

Many more examples exist which show how DPRD is positioned as a comprehensive and dynamic organization to respond to current legal, policy, strategic and operational objectives in the context of DR

DPRD is prepared to be an even more integral part of the way of doing business in a period of fiscal restraint

DPRD is proud of its recent achievements and its new and exciting initiatives. DPRD is committed to providing dynamic and comprehensive services which demonstrate the integration of DR into JUS service



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Next Steps

- An update on the initiatives of DPRD was presented as a discussion item at Management Committee on January 19, 2012
- Based on comments from the A/Assistant Deputy Minister and Management Committee, it is recommended that this deck be refined and submitted for presentation to the Deputy Minister and Associate Deputy Minister



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DEPARTMENT OF JUSTICE

Wrap-up Discussion of DPRD Briefings and Decisions-sought on DPRD functions, priorities and resources June 25, 2012

Presented by:

Michel Francoeur, Director General and Senior General Counsel, Law Practice Management Directorate
Danièle Ménard, Director and General Counsel, Dispute Prevention and Resolution Division
Jonathan Allen, Deputy Director, Dispute Prevention and Resolution Division
Erin Reid, Senior Analyst, Dispute Prevention and Resolution Division



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2 Goal of Briefing

The purpose of this briefing is to:

- Wrap-up and link the various previous briefings on DPRD activities
- Present what activities DPRD can reduce, stop or delay in order to respond to the OAG's comments on the management of DR initiatives, the Performance Measurement (PM) Project *and* anticipated reductions as a result of the ongoing DRAP exercise
- Explain DPRD's vision for its future work and structure (non-EXs will leave for any resource or org chart discussions)
- Respond to any remaining questions to inform decisions on the future of DPRD's functions, priorities and resources



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3 Outline

- Briefings on DPRD's work and future
 - Framing the wrap-up discussion
 - What activities can DPRD stop, reduce, or delay?
 - What will DPRD look like in the next 18 months and beyond?
 1. Immediate cuts/reductions and priorities (for next 18 months)
 2. Ultimate future structure and organization beyond 18 months
 - Summary
 - Conclusion and Decisions sought
-



4 List of Briefings on DPRD's work and future

1. May 11, 2012: You were provided with the interim report on the Quebec Pilot Project and your approval was requested for the continuation of the project
 2. May 30, 2012: Briefing on DPRD's recent renewal and core mandate activities (i.e. Information and Tools, Training, and Legal Advisory and Systems Design) and how these are linked through the overarching QRO project and Performance Measurement work
 3. June 18, 2012: Briefing on DPRD's response to the OAG where you were presented an accelerated and revised 18 month Performance Measurement Project (to December 2013)
 4. June 21, 2012: Follow-up briefing on Quebec Pilot Project interim report, which recommends approval of continuation and finalization of the project (from September 1, 2012 to March 31, 2013)
 5. On-going: Executive level review of DPRD's mandate, budget and organization model options
 6. On-going: Overall planning of what activities can be reduced, altered or dropped
-



5 List of Briefings on DPRD's work and future Continued

To date, you have heard:

- That DPRD has reviewed, revitalized and renewed itself to:
 - focus on providing support to those doing DR in Justice (e.g. litigators, advisory counsel and legislative initiatives) through the provision of information and tools, training and legal advisory and systems design
 - shown how this revitalization has increased demand for DR support and services
 - Implement and plan cuts and reductions (e.g. HR mix reorganization, SOR, DRAP) and proposed a future smaller DPRD through a service delivery model change
 - Completed and delivered many projects in 2011-2012 (e.g. info and tools like the DR Continuum and Toolkit and new training like *Negotiation in an International and Inter-cultural context*)
- The history of DPRD's OAG response, original PMF, how DPRD core activities factor into the PMF, and how DPRD can accelerate the project for delivery in 18 months
- How the QRO Pilot Project is a part of augmenting the role and capacity of litigators and regions as the front-line deliverers of DR as well as how DPRD envisions reducing to become a coordinating national unit to supporting a network of DR practitioners



6 Framing the wrap-up discussion

Next Steps

- Before DPRD's future can be determined, all of the various briefing topics need to be considered together since there are functional linkages and interdependencies
- The subjects of all of the briefings to date are all different components of the ultimate solution for the future
- The PM Project is premised on some scaled continuation of DPRD's core service and some continuation of the QRO Pilot Project



7 Framing the wrap-up discussion Continued

DPRD envisions being able to reorganize in order to:

- Respond to the OAG by:
 - Delivering on the accelerated PM Project
 - Continue to deliver some strategic core services to support, fuel and drive real DR initiatives that can in turn be measured
- Finish the QRO pilot project so we can continue to link to real files to inform the PM Project and ultimately make recommendations on a final future service delivery model for a regional network of DR specialist practitioners supported and coordinated by DPRD's core services as a clear permanently reduced and efficient organization

The following slides and analysis demonstrate how DPRD could achieve this



8 Doing less with less: What can we stop, reduce or delay?

- Given that reductions to DPRD will happen, for any vision to be viable "something has to give"

Stop	Reduce	Delay
- outreach activities with academia, provinces, international governments, private DR organizations, and law associations (e.g. Barreau du Québec and CBA) - working with universities to develop law course curriculum, facilitation of courses, and promotion of DR to law students who may become Legal Excellence Program and/or LA01s	- training to only basic PDD series and stop delivery to clients, non-JUS organizations, tribunals etc. (represents a 50% cut in DPRD time and effort) - systems design projects to only one per year - services provided to the DR Practice Group by stopping newsletters, seeking additional assistance from members to coordinate and support meetings, and reduce the number of meetings - time/effort needed to produce legal opinions by drawing in DR practitioners and colleagues from other areas of the department for assistance (e.g. research, peer-review, etc.)	- DR Consultative Group - creation of aJUS DR Award - creation of a DR Departmental Champion



9 What can DPRD reduce, stop or delay? Continued

Additional helpful factors to consider:

- The PM Project Action Plan resource effort and time has been planned in a staged way so that staff will still have periods of time to devote to other priorities (e.g. the LC02 would have sufficient time to complete the QRO Pilot Project, EC and LA activities and cycles of work trade off to allow time for continued delivery of core services while the PMP is finalized)
- While the PM Project is our priority, not all staff will be working on the same aspects at the same time
- Even if all activities other than the PM Project were stopped, the project would not be finalized faster
- Many of the basic components of DPRD's core services were completed in 2011-2012 (e.g. info and tools development/launches, training curriculum redesign, new advisory databases, etc.) which means that relatively little effort will be required to maintain these in the next 5 years
- The fact that DPRD has had so many staff on assignment-in and secondment-in in the last two years means we now have a network of contacts and people ready to train from other areas of JUS. We can call upon these people for "free" assistance to teach our courses. This is an important "return on investment" of determinate staff



10 Fundamental Challenge Question

- *If your priority is the OAG response and the Performance Measurement Project, why does DPRD need to continue core services and the QRO pilot project?*
- In the **short-term**, if the OAG response and PM Project is DPRD's only activity, it risks being developed in bubble without real or realistic examples or components that DPRD learns about from delivering core services and through the QRO pilot project
- In the **long-term** successfully employing the tools created by the PM Project, requires that the department have adequate support, capacity building and tools.
- Without these core DPRD support services we risk:
 - There being few, if any, real DR initiatives to actually "measure"
 - That existing DR initiatives will still be lacking core design elements that go beyond just performance measurement
 - That Justice has inadequate support to employ the Guide and other resources properly
 - That we will become proficient at measurement only to be able to measure our failures
- The QRO Project is about considering *how* we delivery these services, embed them in Regions where they will be able to more easily influence actual DPRD initiatives, and do so better and cheaper.





11 What could DPRD look like in the next 18 months and beyond?

1. Next 18 months: Immediate cuts/reductions and priorities:

An organizational model will be distributed/discussed among EXs only

What will people do?

Priority 1: a) PM Project production/finalization of aspects listed on the action plan, and dissemination of the guide to DR practitioners so that they can integrate PM into their files and initiatives b) Management of DR initiatives

Priority 2: Reduced core services and strategically selected and scale them ensure DPRD is focussing on the best work to both fuel and feed the PM Project (e.g. info and tools that will go into the Guide; training to build capacity which the PM Project will measure, providing advice and systems design on real DR initiatives which will in turn be measured by the PM Project). Finish DR initiatives

Priority 3: Conclude the QRO Pilot Project and make recommendations on options for a) the establishment of regional DR functions/practitioners (which will clearly transfer the responsibility for DR initiatives to litigators and regions, where they are best place to manage the files); and b) the role of a future post-pilot and post PM Project DPRD (i.e. coordination and support of the network of DR practitioners).



12 What could DPRD look like in the next 18 months and beyond? Continued

2. Beyond 18 months: Ultimate future structure and organization

An organizational model will be distributed/discussed among EXs only

A reduced DPRD would:

- manage and maintain its inventory of standardized information and tools to disseminate to DR practitioners
- provide training (including "train the trainer") to the network of DR practitioners to ensure litigators and regions are fully equipped with the capacity and knowledge to do DR initiatives
- provide legal advisory services on DR in support of the primary leads (i.e. litigators, regions) on DR initiatives (in the same way that Human Rights, Constitutional, etc. do)
- provide systems design (including how to do systems design) to DR practitioners, particularly legal service units) for the establishment and creation of DR systems
- coordination, support and maintenance of DR networks (DR Practice Group, DR Consultative Group, communities of practice etc.)
- national coordinating analysis across portfolios and regions for reporting, best practices and lessons learned from the use of DR
- as-needed support to DR practitioners as they apply the PMP to their files and initiatives
- Should DR experts be established in regions following the QRO pilot, the DR Consultative Group's mandate could be revised to serve as the coordinating body for the new DR network



13 Summary

- Therefore, reducing DPRD activities has already been planned, and is a given regardless of our future. This will make room for:
 1. Delivery of the accelerated PM Project
 2. Continuation of strategic selected core services which will in turn fuel and drive the initiatives to measure, and
 3. Finalization of the QRO pilot so that we can arrive at final recommendations on how to
 - establish, support and coordinate a network of DR regional coordinators and
 - implement permanent reductions to DPRD for the future
- As discussed today, because of changes to other DPRD priorities, we propose that the timing of the QRO Project be synchronized with that of the PM Project.
- This will maximize our presence in the QRO to inform and shape the PM Project and make sure it is realistic and relevant



14 Conclusion and Decisions Sought

- Confirm DPRD's reduction targets and start to implement reductions
- Approve accelerated eighteen-month PM Project Action Plan
- Allow DPRD to continue with strategic, reduced, core work (Information and Tools, Training, and Legal Advisory and Systems Design) scaled to existing new resources pursuant to on-going discussions. This is integral to fuelling and driving the Performance Measurement Project
- Approve continuation and finalization (September 2011 to September 2012) of the QRO Pilot Project, which will allow the finalization of options for the transfer of DR functions to regions and to clarify the coordination, support, advisory and performance measurement role of a future DPRD at Headquarters
- Brief Deputy Minister Kirvan with "An Update of the Initiatives and Strategic Plan of DPRD" deck

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: REPORT OF THE AUDITOR GENERAL OF CANADA 2007

OAG Audit Recommendation # 5.25 - 2
Report 2007-05 – Chapter 5

Risk Ranking:

Managing the Delivery of Legal Services to Government – Department of Justice Canada

In addition to its current management of alternative dispute resolution initiatives, Justice Canada should ensure that it clearly defines each initiative's objectives, estimates the potential cost savings and formally reviews the outcome of initiatives against their objectives

Management Response and Action Plan

The Department agrees with the Auditor General's recommendation, which is consistent with the recent review of the Department's dispute resolution initiative that has resulted in a new mandate focused on providing services to departments supporting long-term prevention and early resolution of disputes. These client-focused services include systems design, legal advisory support, and training, all of which are linked to the departmental priorities of improving practice management and managing the volume of litigation.

Last Update (June 2012)

2. Development of Performance Measurement Tools for Dispute Resolution Initiatives

In 2011-2012, the Department of Justice continued to advance its multi-year project aimed at developing performance measurement tools for DR initiatives.

A draft Performance Measurement Framework (PMF) was developed in June 2011. The PMF contains a number of elements aimed at ensuring that Justice has systems in place for regular reporting on DR, ongoing and methodologically sound analysis of the value of DR, and information to support operational decision-making on DR in the management of the litigation inventory. In addition, the framework aims to ensure that client departments will have support and advice from Justice in the use of performance measurement in their own DR programs and initiatives.

The following key elements of the PMF were developed in fiscal year 2011-2012:

- A preliminary methodology for quantifying and understanding the impact of various DR mechanisms;
- Tools to capture the impact of training and knowledge transfer; and
- A draft Guide to Performance Measurement in DR initiatives. (The Guide will be finalized and launched in 2012-2013.)

Several different initiatives are underway to support the development of a DPR performance management regime.

At the request of AMREC, timelines and deliverables were re-examined with the objective of accelerating the work to respond to the Auditor General's specific recommendation. A new work plan is being developed for approval by the end of July. Consideration on future priorities will be re-examined in the context of the Economic Action Plan 2012.

Assessment Level: Level 3 - Preparations for implementation

Update:

<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input checked="" type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

Current Status as at March 31, 2013 (please provide details on progress against the management action plan):

Coordinator Name:	Jo-Anne Brisebois	Tel#:	(613) 957-4220
OPI:	Patrick Vézina	Tel#:	(613) 957-4670
Also sent to:			

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: REPORT OF THE AUDITOR GENERAL OF CANADA 2007

At the time of the audit, strategies examined by the OAG related to a DR Fund which had been approved by Treasury Board. The DR Fund is no longer in place. This recommendation is therefore considered obsolete.

Estimated Date of Completion:

CAE Assessment

In order to support the assessment that the recommendation is obsolete, the following information / clarification is required: the date at which the Dispute Resolution Fund expired; a management statement that the Department is no longer undertaking DR initiatives; and, a management statement clarifying that dispute resolution is considered and discussed with clients on all litigation matters where DR is a potential option for resolution of the matter.

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MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: REPORT OF THE AUDITOR GENERAL OF CANADA 2007

OAG Audit Recommendation # 5.62 - 1 Report 2007-05 – Chapter 5	Risk Ranking:
Managing the Delivery of Legal Services to Government – Department of Justice Canada Justice Canada should develop a quality management system or systems for each of its practices to provide senior management with ongoing and reliable assurance that all services meet established minimum quality standard.	

Management Response and Action Plan
The Department agrees with the Auditor General's recommendation and will build on the elements of its quality work recognized by the Office of the Auditor General with a view to having a sound quality management approach.

Last Update (June 2012)
1. Quality Assurance Framework (QAF) The Department's QAF initiative encompasses three parts, each composed of unique underlying pillars: <ul style="list-style-type: none"> • Part 1 provides contextual information (e.g., the types of legal services delivered, and the Department's service delivery structure and roles and responsibilities) and a definition of "quality" legal services and related quality service standards; • Part 2 provides a detailed inventory of quality assurance tools and processes currently in place across the Department to meet the quality service standards; and • Part 3 will identify quality assurance indicators and will establish an appropriate governance strategy (including functional authority, reporting and continuous improvement), communications plan and implementation plan. <p>Revisions to the QAF were made pursuant to a comprehensive research paper prepared in 2011 that provided globally accepted definitions and practices from the International Organization for Standards (ISO) and precedents from international, federal, provincial and other government institutions, non-government organizations and legal services providers. Findings from this research paper and further feedback from members of the Justice Quality Assurance Working Group and other internal stakeholders were reflected in revisions to the format and content of Parts 1 and 2 of the QAF and informed work underway on Part 3. (The Working Group has had six meetings so far.)</p> <p>Recommendations regarding the underlying pillars of the QAF will be considered by senior management in summer 2012. The complete QAF is expected to be presented to senior management by the end of 2012. Roll-out of the QAF is expected to commence in early 2013.</p> <p>Assessment 2102: Level 3 - Preparations for implementation</p>

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input checked="" type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
Current Status as at March 31, 2013 (please provide details on progress against the management action plan):	
QAF was fully endorsed by Management Committee on March 7, 2013 and by Executive Committee on March 27, 2013. A QAF is now in place at Justice for the provision of high quality legal services to the Government. The	

Coordinator Name:	Jo-Anne Brisebois	Tel#:	(613) 957-4220
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**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: REPORT OF THE AUDITOR GENERAL OF CANADA 2007

Management Sector considers this recommendation completed.

Estimated Date of Completion:

CAE Assessment

In order to support a level 5 assessment, evidence is required to demonstrate that the Quality Assurance Framework is able to provide senior management with ongoing and reliable assurance that all services meet minimum quality standards.

Coordinator Name:	Jo-Anne Brisebois	Tel#:	(613) 957-4220
OPI:	Patrick Vézina	Tel#:	(613) 957-4670
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: REPORT OF THE AUDITOR GENERAL OF CANADA 2007

OAG Audit Recommendation # 5.62 - 2 Report 2007-05 – Chapter 5	Risk Ranking:
Managing the Delivery of Legal Services to Government – Department of Justice Canada Justice Canada should develop a quality management system or systems for each of its practices to provide senior management with ongoing and reliable assurance that all services meet established minimum quality standard.	

Management Response and Action Plan
The Department agrees with the Auditor General's recommendation and will build on the elements of its quality work recognized by the Office of the Auditor General with a view to having a sound quality management approach.

Last Update (June 2012)
2. Legal Risk Management (LRM) The main goal of the LRM Renewal initiative is to improve Legal Risk Management (LRM) through a harmonized application of the LRM system across all Justice sectors of activity (i.e., litigation, advisory and legislative) by providing standardized LRM tools, communications and practices that support counsel and clients. The Department completed Phase I of the LRM Renewal initiative. Based on the results of extensive national consultations and pilot projects, recommendations in support of an improved and comprehensive LRM process, including the introduction of a new LRM Grid and Impact Table were presented to and approved by senior management on March 7, 2012. Work in the context of Phase II of the LRM Renewal initiative started in May 2012 and essentially focuses on the elaboration of reference documents pertaining to communication of legal risks and on LRM roles and responsibilities, as well as on the elaboration of a new governance framework for LRM. Recommendations flowing from Phase II will be presented to senior management in October 2012. The launch of the new revamped LRM Framework will commence in December 2012 and its implementation will take place from January to March 2012. Assessment Level: Level 4 - Substantial implementation

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress) <input type="checkbox"/> Level 2 (Planning Stage: plans created & approved) <input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation) <input checked="" type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented) <input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
Current Status as at March 31, 2013 (please provide details on progress against the management action plan):	
Roll-out of LRM Renewal is now under way, including national training of counsel and paralegals. This activity is consequently considered completed for the purposes of this audit.	

Coordinator Name:	Jo-Anne Brisebois	Tel#:	(613) 957-4220
OP:	Patrick Vézina	Tel#:	(613) 957-4670
Also sent to:			

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: REPORT OF THE AUDITOR GENERAL OF CANADA 2007

Estimated Date of Completion:

CAE Assessment
In order to support a level 5 assessment, evidence is required to demonstrate that the LRM Renewal initiatives provide senior management with ongoing and reliable assurance that all services meet established minimum quality standards.

Coordinator Name:	Jo-Anne Brisebois	Tel#:	(613) 957-4220
OPI:	Patrick Vézina	Tel#:	(613) 957-4670
Also sent to:			

Tilhoff, Tanya

From: Hertz, Bea
Sent: 2013-Mar-21 1:22 PM
To: Kanani, Rahima
Cc: Vianda, Christian; Driscoll, Cheryl
Subject: RE: External Audit Follow-up on Management Action Plans

Hi Rahima,

I am happy to provide what I have. That is:

1) Status Update on OCG Horizontal Audit on Compliance with the *Common Services Policy, Part II (provided by Kimberly Melynk and Jodi Bromley)*



DAC Status
Report Feb 2013 ...

And supporting information (not intended to be part of the package for AMREC or DAC):



Action Items and
Responsibility ...



Action item a) List
of process...



2013 01 31 List of
Best Practi...

Part II response has changed since January. I will have an updated version for you no later than start of business tomorrow.

2) Status Update on 2007 and 2011 OAG Audit Items

Please note that, due to changes in the former Law Practice Management Division and future planned changes, the ADM, MS was reluctant to provide updates to many of the 2007 items. I have inserted notes in the text below and would recommend that you discuss these items with Patrick Vézina, Director and General Counsel, Law Practice Management Division, who, as late as today, confirmed that he would be reluctant to put any update in writing. Also, in the attached DRAFT document you will note that some items in follow-up to the **2007-05 - Chapter 5: Managing the Delivery of Legal Services to Government** audit report were reported last year as completed and thus show as not required for 2013. It has been our practice to drop them from the report. I have left them in the document for your reference only. The entire reference to **2009-03 - Chapter 1 - National Security Intelligence and Information Sharing** has been dropped as the last of the elements was reported as completed last year.



OAG_2012-13_
Annual Update_...

From: Kanani, Rahima
Sent: 2013-Mar-21 10:33 AM
To: Hertz, Bea
Cc: Vianda, Christian; Driscoll, Cheryl
Subject: RE: External Audit Follow-up on Management Action Plans

Good morning Bea,

This is just a gentle reminder that I will gathering the draft reports. If they are ready, may I request a copy, please?

Thank you,

Rahima Kanani
Internal Audit Branch | Direction de la vérification interne
Department of Justice | Ministère de la Justice
222 Queen Street - Suite 1135 | 222, rue Queen - pièce 1135
Ottawa, Ontario K1A 0H8
Telephone | Téléphone 613-952-5799
Facsimile | Télécopieur 613-948-7411
Government of Canada | Gouvernement du Canada

From: Hertz, Bea
Sent: 2013-Mar-14 2:02 PM
To: Driscoll, Cheryl; Pratt, Joan
Cc: Vianda, Christian; Kanani, Rahima
Subject: RE: External Audit Follow-up on Management Action Plans

Hi Cheryl,

Thank you for this. Just to let you know that draft reports are already done on the follow-up to the OCG action plans and to most elements of the few remaining on the OAG audits. I can provide them to you.

Bea

From: Driscoll, Cheryl
Sent: 2013-Mar-13 6:52 PM
To: Hertz, Bea; Pratt, Joan
Cc: Vianda, Christian; Kanani, Rahima
Subject: External Audit Follow-up on Management Action Plans

Bea and Joan:

Time is again approaching for the Follow-up on Management Action Plans Update (Fiscal Year – March 31, 2013). Since external audit liaison is moving to our Branch on April 1, 2012 we offer to do the follow-up on the OAG, OCG and PSC outstanding actions plans along with our follow-up on internal audit action plans this round. We are planning to send out the call letters within the next few weeks and request your assistance to help us transition to assume this function.

Joan: While I understand how the history as to how the OAG file ended up in Management Sector, I am unaware of how the PSC follow-up ended up with you. (Lucky?) In any case, we offer to do them in future and satisfy the DAC reporting requirement, if you are in agreement.

Cheryl Driscoll CIA, CGAP, CCSA, CRMA, CFE
Chief Audit Executive / Dirigeante principale de la vérification interne
Internal Audit Branch / Direction de la vérification interne
Department of Justice Canada / Ministère de la Justice Canada

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Telephone /Téléphone: 613-948-1977 Fax \ Télécopier 613-998-4030
Cheryl.Driscoll@justice.gc.ca

January 28, 2013

**Horizontal Internal Audit of Compliance with the Common Services Policy
Status Report on Management Action Plan: Identification of cost effectiveness measures and processes for reporting**

OCG Recommendation: Common Services Organizations (CSO's) should develop practices to measure cost-effectiveness and report on this information to key stakeholders (Medium risk)

Management Response: The Department of Justice accepts this recommendation.

Responsibilities: ADM, Management Sector; Head, Integration

Planned Action II: Identification of cost effectiveness measures and processes for reporting

Action Items	Status
a) Implement business processes, tools and standards to support informed decision making by client organizations about their legal services requirements and associated costs	<p>Full implementation</p> <p>Consistent and well-documented business processes, tools and standards facilitate client engagement, enhance transparency and accountability and help ensure a uniform approach to managing and reporting on the provision of legal services.</p> <p>Justice has developed an evergreen list of relevant business processes, tools and standards currently available to support informed decision making by client organizations about their legal services requirements and associated costs, including: guidance material, business standards and related communications developed as part of the Cost Recovery Process Improvement (CRPI) Project; the <i>Budget Management Framework</i> i.e., a formal document that provides context, standards and directions for budget management activities within Justice; a communications strategy and material related to announcements on the legal services rates; TB submission protocols (including the Week Ahead Report which lists all client led TB subs); and templates and guidance material related to MOUs for the provision of legal services, including an updated <i>Accountability Framework for Memoranda of Understanding Related to the Provision of Legal Services</i>.</p> <p>The list will be updated as additional processes, tools and standards are introduced in support of continuous improvement, including the development of an overarching <i>Net Vote Revenue Framework</i> encompassing a policy, directives and guidelines as well as standard practices and tools that would enable better planning and monitoring of the costs of processing, reviewing and presenting documentary evidence in litigation.</p>

<p>b) Develop a list of best practices that would contribute to cost savings for consideration by Justice managers and discussion with client organizations</p>	<p>Preparation for implementation</p> <p>Developed a list of best practices with clear linkages to cost effectiveness. Stakeholder consultations are underway. This list will also be evergreen and is expected to evolve over time.</p> <p>The list will serve as a guidance document for managers to inform discussions with their client departments to assist in the management of demand and costs of legal services. The items set out in this list are aligned with a number of efficiency measures in the context of the implementation of the Process Optimization commitment under the Modernization Strategy.</p> <p>Timelines: March 31, 2013</p> <p><i>* Delayed from initial estimated completion date of October 2012 reported to DAC in July 2012 to enable alignment of best practices with work underway on a parallel commitment aimed at identifying options for efficiency improvements i.e., Process Optimization.</i></p>
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Action Items	Status
<p>c) Formalize the practice of documenting the identification and consideration of options available to client organizations for controlling their legal services costs</p>	<p>Full Implementation</p> <p>Strengthened guidance provided in the Integrated Business Planning process and the <i>Accountability Framework for MOUs Related to the Provision of Legal Services</i> regarding factors to consider and the overall approach for joint planning discussions with clients.</p> <p>Integrated revenue forecasting for individual client organizations into the Department's Integrated Business Planning process. Revenue forecasts are updated quarterly throughout the year.</p> <p>Introduced a revised template for the Planning and Forecasting Annex (Annex B) of the MOU template to include the following attestation statement to be signed by both the Justice and client Contacts for the Management the MOU: "<i>The total forecast presented above reflects the results of joint planning discussions between Justice and [client organization], including consideration of options for controlling legal services costs.</i>"</p>

<p>d) Through the Client Feedback Survey, measure and report on client satisfaction with the extent to which they have been provided with options for controlling their legal services costs</p>	<p>Preparation for implementation</p> <p>As part of the Client Feedback Survey Review, completed consultations with heads of Portfolios and specialized legal services offices regarding the inclusion of the proposed question related to controlling the cost of legal services in January 2013.</p> <p>The proposed question is scheduled for testing with client department focus groups in early March.</p> <p>Recommendations will be presented to Senior Management in spring/summer 2013.</p> <p>Timelines: Implementation scheduled for fall 2013.</p> <p><i>* On track with initial estimated completion date reported to DAC in July 2012 i.e., "Implement in 2013-2104 – first year of the next 3 year survey cycle"</i></p>
<p>e) Identify measures of cost effectiveness that would be reported on in the Departmental Performance Report (DPR)</p>	<p>Preparation for implementation</p> <p>Efficiency measures for reporting on the provision of legal services in the DPR are being developed and will draw on some of measures identified through the Department's Process Optimization Initiative and other initiatives, where appropriate.</p> <p>Timelines: Efficiency indicators will be identified in the Department's Performance Measurement Framework (PMF) that will be submitted to TBS for final approval in August 2013, as part of the Management Resources and Results Structures (MRRS) update for 2014-2015. Efficiency indicators will be implemented and tested internally in 2013-2014, and revised if necessary. The Department will begin reporting on efficiency indicators to Parliament and the public in the 2015-2016 DPR.</p> <p><i>* On track with timelines reported to DAC in July 2012 regarding the identification of efficiency indicators. However, the timelines for beginning to report on efficiency indicators in the DPR have been extended by one fiscal year in response to updated guidance from TBS i.e., mandatory reporting on efficiency indicators will commence with the 2015-2016 DPR, as opposed to TBS' previous deadline of the 2014-2015 DPR which had been conveyed to DAC in July.</i></p>

WORKING DOCUMENT
Horizontal Internal Audit of Compliance with the Common Services Policy
Management Action Plan: Identification of cost effectiveness measures and processes for reporting

February 7, 2013

OCG Recommendation: Common Services Organizations (CSO's) should develop practices to measure cost-effectiveness and report on this information to key stakeholders (Medium risk)

Management Response: The Department of Justice accepts this recommendation.

Action Items	Timelines	Planned Activities	Status
a) Implement business processes, tools and standards to support informed decision making by client organizations about their legal services requirements and associated costs	Completed	Compile a list of relevant business processes, tools and standards currently available to support informed decision making by client organizations about their legal services requirements and associated costs, including: guidance material, business standards and related communications developed as part of the Cost Recovery Process Improvement (CRPI) Project; the <i>Budget Management Framework</i> i.e., a formal document that provides context, standards and directions for budget management activities within Justice; a communications strategy and material related to announcements on the legal services rates; TB submission protocols (including the Week Ahead Report which lists all client led TB subs); and templates and guidance material related to MOUs for the provision of legal services, including an updated <i>Accountability Framework for Memoranda of Understanding Related to the Provision of Legal Services</i> .	Full implementation Developed an evergreen list of relevant documentation (October 2012). The list will be updated as additional processes, tools and standards are introduced in support of continuous improvement, including the development of an overarching <i>Net Vote Revenue Framework</i> encompassing a policy, directives and guidelines as well as standard practices and tools that would enable better planning and monitoring of the costs of processing, reviewing and presenting documentary evidence in litigation.
b) Develop a list of best practices that would contribute to cost savings for consideration by Justice managers and discussion with client organizations	March 31, 2013 October 2012	Review proposals developed through the Process Optimization initiative and other consultations, including consultations with CFOB, to identify: <ul style="list-style-type: none"> • best practices with clear linkages to cost effectiveness; • strategies for integrating best practices into the management of the delivery of legal services e.g., develop additional guidance materials, such as a Business Practice Series bulletin¹ on some best practices; and • potential cost efficiency measures for DPR reporting. 	Preparation for implementation Developed a list of best practices with clear linkages to cost effectiveness. Stakeholder consultations are underway. This list will also be evergreen and is expected to evolve over time. The list will serve as a guidance document for managers to inform discussions with their client departments to assist in the management of demand and costs of legal services. The items set out in this list are aligned with a number of efficiency measures in the context of the implementation of the Process Optimization commitment under the Modernization Strategy.

¹ The Business Practices Series is a collection of bulletins prepared by the Business Practices Division (BPD) to provide guidance to managers, counsel, paralegals and legal assistants on various business functions and tools supporting the provision and management of legal services.

Action Items	Timelines	Planned Activities	Status
c) Formalize the practice of documenting the identification and consideration of options available to client organizations for controlling their legal services costs	January 31, 2013	Strengthen guidance provided for Section 2 of the Integrated Business Planning process and the <i>Accountability Framework for MOUs</i> regarding factors to consider and the overall approach for joint planning discussions with clients e.g., <ul style="list-style-type: none"> • Reinforce the need for joint planning discussions • Provide guidance on considerations regarding the identification of options for controlling costs • Provide guidance on possible ways to improve documentation of options considered in joint planning discussions with clients e.g., maintain records of joint planning discussions, priorities and the identification and consideration of options for controlling legal services costs; promote use of the flexibility provided for in the MOU template to include supplementary information in Annex B of the MOU such as list of priorities and measures agreed to be undertaken to control legal services costs; and reinforce commitment identified in paragraph 6.2 d) of the MOU template to make available adjusted forecasts of payments required to year-end 	Full Implementation <p>Strengthened guidance provided in the Integrated Business Planning process and the <i>Accountability Framework for MOUs Related to the Provision of Legal Services</i> regarding factors to consider and the overall approach for joint planning discussions with clients.</p> <p>Integrated revenue forecasting for individual client organizations into the Department's Integrated Business Planning process. Revenue forecasts are updated quarterly throughout the year.</p> <p>Introduced a revised template for the Planning and Forecasting Annex (Annex B) of the MOU template to include the following attestation statement to be signed by both the Justice and client Contacts for the Management the MOU: "<i>The total forecast presented above reflects the results of joint planning discussions between Justice and [client organization], including consideration of options for controlling legal services costs.</i>"</p>
		Amend the departmental Financial Situation Reporting and Revenue Forecasting process to enable revenue forecasting for individual client organizations through the FSR	
		Revise the template for the <i>Planning and Forecasting Annex</i> (Annex B) of the MOU template to include an attestation (above the signature plates for Contacts for the Management of the MOU) to the effect that <p>"<i>The total forecast presented above reflects the results of joint planning discussions between Justice and [client organization], including consideration of options for controlling legal services costs. / Les prévisions présentées ci-haut reflètent le résultat de discussions conjointes entre le ministère de la Justice et XXX, incluant l'examen d'options pour contrôler les coûts des services juridiques.</i>"</p>	

Action Items	Timelines	Planned Activities	Status
d) Through the Client Feedback Survey, measure and report on client satisfaction with the extent to which they have been provided with options for controlling their legal services costs	Implement in 2013-2014 – first year of the next 3 year survey cycle	<p>Develop and pilot test through focus groups a question on client satisfaction with the extent to which clients feel they have been provided with options for controlling their legal services costs for inclusion in the Client Feedback Survey.</p> <p><i>* This work is being undertaken within the context of a review of the client feedback survey initiative in preparation for the launch of cycle 3 in 2013-14</i></p>	<p>Preparation for implementation</p> <p>As part of the Client Feedback Survey Review, completed consultations with heads of Portfolios and specialized legal services offices regarding the inclusion of the proposed question related to controlling the cost of legal services in January 2013.</p> <p>The proposed question is scheduled for testing with client department focus groups in early March.</p> <p>Recommendations will be presented to Senior Management in spring/summer 2013.</p> <p>Implementation scheduled for fall 2013.</p>
e) Identify measures of cost effectiveness that would be reported on in the Departmental Performance Report (DPR)	Identify measures in 2012-2013 for implementation in 2013-2014, and reporting in the 2015-2016 DPR in 2014-2015	<p>SPPM and CFOB will jointly develop proposals for efficiency indicators for the program activity Legal Services to Government. The Proposals will be presented to Management Committee under the sponsorship of the Head, Integration, the CFO and the A/ADM Management Sector. The measures will be publically reported in the 2015-2016 DPR.</p> <p><i>* This work is being undertaken as part of the review and updating of the Departmental Performance Measurement Framework within the context of the requirement under the Policy on Management, Resources and Results Structure (MRRS) for departments to develop and implement efficiency measures for all elements in the Program Activity Architecture (PAA).</i></p>	<p>Preparation for implementation</p> <p>Efficiency indicators for reporting on the provision of legal services in the DPR are being developed and will draw on some of measures identified through the Department's Process Optimization Initiative and other initiatives, where appropriate.</p> <p>Efficiency indicators will be identified in the Performance Measurement Framework (PMF) that the Department will submit to TBS for final approval in August 2013, as part of the Management Resources and Results Structures (MRRS) update for 2014-2015. The efficiency indicators will be implemented and tested internally in 2013-2014, and revised if necessary. The Department will begin reporting to Parliament and the public on efficiency indicators in the 2015-2016 DPR.</p>

Responsibility Assignment Matrix

Organization	Name	Action Item a) <i>Implement business tools, practices, standards...</i>	Action Item b) <i>Develop list of best practices...</i>	Action Item c) <i>Documenting ... options...</i>	Action Item d) <i>Client Feedback Survey</i>	Action Item e) <i>DPR reporting</i>
Integration Office	B. Ritzen	Accountable	Accountable Sign-off	Accountable	Accountable	Accountable
	K. Melnyk	Supportive	Responsible	Supportive	Supportive	Supportive
Management Sector (MS)	J. Oliver	Accountable	Accountable	Accountable	Accountable	Accountable
	C. Quinn	Sign-off		Sign-off	Sign-off	Sign-off
	J. Bromley	Responsible (with L.Robitaille)	Supportive	Responsible (with L.Robitaille)	Consulted	Supportive
	E. Cobb E. Bilodeau		Consulted		Responsible	Responsible (with L.Robitaille)
CFOB	D. Schnob	Sign-off	Consulted	Sign-off		Sign-off
	L. Robitaille	Responsible (with J.Bromley)	Supportive	Responsible (with J.Bromley)	Consulted	Responsible (with E.Cobb and E.Bilodeau)
Process Optimization Initiative	D. Therrien P. Shenher		Consulted			

Responsible: The person performing the work; lead supporting role

Accountable: The person to whom "Responsible" is Accountable and who is answerable that the work is done on time, meets requirements and is acceptable.

Supportive: A person who provides resources or plays a supporting role in bringing the Action Item to completion

Consulted: This person has information or expertise necessary to inform the work. Two way communication occurs, typically between "Responsible" and "Consulted".

Inform: This person should be notified when the work is complete or if there is a significant issue. One way communication occurs.

Sign-Off: The person who has the authority to sign off on the completion of a work package indicating that it meets quality standards.

Note: Consultations with other stakeholders and senior management approvals of deliverables beyond what is indicated in the above table will occur, as necessary, under the functional leadership of the responsible individuals.

August 10, 2012

Horizontal Internal Audit of Compliance with the Common Services Policy
Management Action Plan: Identification of cost effectiveness measures and processes for reporting

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Action Items	Planned Activities
a) Action Item a) Implement business processes, tools and standards to support informed decision making by client organizations about their legal services requirements and associated costs	To sufficiently demonstrate that this action has been completed, compile a list of relevant documentation on business processes, tools and standards to support informed decision making by client organizations about their legal services requirements and associated costs, including material developed as part of the Cost Recovery Process Improvement (CRPI) Project, the Budget Management Framework, communications strategy and material related to announcements on the legal services rates, TB submission protocols, and templates and guidance material related to MOUs for the provision of legal services.
Processes, or Tools and Standards	Location where it can be found
NVR framework (in development)	To be completed by March 31, 2014 with updates likely posted on intranet before that date.
Cost Recovery Process Improvement (CRPI) Project	http://jusnet.justice.gc.ca/finance_e/crpi-aprc/
Budget Management Framework	http://jusnet.justice.gc.ca/finance_e/bmf-cgb/ The Budget Management Framework is a formal document that provides context, standards and directions for budget management activities within Justice.
Communications strategy and material related to announcements on the legal services rates	Not yet posted on intranet. PDF versions for the 2012-13 Legal Service Rates Communication Package are below: <div style="text-align: center;">  2012-13 Legal Services Rates - Taux relatifs aux services juridiques pour l'exercice 2012-2013.msg <hr/> <div style="display: flex; justify-content: space-around; align-items: flex-end;"> <div style="text-align: center;">  Annex A - DM Letter.pdf </div> <div style="text-align: center;">  Annex B - 2012-13 Corporate DiscounterPublished Rates-TauxGeneral_Framework </div> <div style="text-align: center;">  Annex B - 2012-13 </div> <div style="text-align: center;">  Annex C - </div> </div> </div>

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Action Items	Planned Activities
<u>TB submission protocols (including Week Ahead Report (WAR) which lists all client lead TB subs)</u>	http://jusnet.justice.gc.ca/finance_e/liaison_coordination_services.htm The Week Ahead Report (WAR) which lists all client lead TB subs is a weekly document that is shared with Senior Justice Management.
<u>Templates and guidance material related to MOUs for the provision of legal services.</u>	http://jusnet.justice.gc.ca/lpmd_e/agreement_list.htm
b) Develop a list of best practices that would contribute to cost savings for consideration by Justice managers and discussion with client organizations	Review proposals developed through the Process Optimization initiative and other consultations to identify: <ul style="list-style-type: none"> best practices with clear linkages to cost effectiveness; strategies for integrating best practices into the management of the delivery of legal services e.g., develop additional guidance materials, such as a Business Practice Series bulletin* on some best practices; and potential cost effectiveness measures for DPR reporting.

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* The Business Practices Series is a collection of bulletins prepared by the Business Practices Division (BPD) to provide guidance to managers, counsel, paralegals and legal assistants on various business functions and tools supporting the provision and management of legal services.

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Action Items	Planned Activities
c) Formalize the practice of documenting the identification and consideration of options available to client organizations for controlling their legal services costs	<p>Strengthen guidance provided for Section 2 of the Integrated Business Planning process and the <i>Accountability Framework for MOUs</i> regarding factors to consider and the overall approach for joint planning discussions with clients e.g.,</p> <ul style="list-style-type: none"> • Reinforce the need for joint planning discussions • Provide guidance on considerations with respect to the identification of options for controlling costs <p><u>Amend the departmental Financial Situation Reporting process to ?? [Brian — please amend as required]</u></p> <p>Revise the template for the <i>Planning and Forecasting Annex</i> (Annex B) of the MOU template to include an attestation (above the signature plates for Contacts for the Management of the MOU) to the effect that "The above forecast reflects the results of joint planning discussions between Justice and [client organization] and consideration of options for controlling legal services costs."</p> <p>Identify options for improved documentation of options considered in joint planning discussions with clients e.g.,</p> <ul style="list-style-type: none"> • Maintain records of joint planning discussions, priorities and the identification and consideration of options for controlling legal services costs • Promote use of the flexibility provided for in the MOU template to include supplementary information in Annex B of the MOU such as list of priorities and process and measures agreed to be undertaken to control legal services costs • Reinforce commitment identified in paragraph 6.2 d) of the MOU template to make available adjusted forecasts of payments required to year end
d) Through the Client Feedback Survey, measure and report on client satisfaction with the extent to which they have been provided with options for controlling their legal services costs	<p>Develop questions for inclusion in the Client Feedback Survey to assess the extent to which clients feel they have been provided with options for controlling their legal services costs, engage in appropriate consultations and obtain approval from senior management</p> <p><i>* This work would be undertaken as part of a broader review of client feedback survey initiative in light of recent decisions by the Executive Committee</i></p>

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Action Items	Planned Activities
e) Identify measures of cost effectiveness that would be reported on in the Departmental Performance Report (DPR)	<p>Draw on work being undertaken to identify and report on cost efficiency measures for each Program Activity Architecture element in the DPR</p> <p>Efficiency focuses on the relationship between inputs and outputs whereas effectiveness deals with the relationship between outputs and outcomes; [2] consider cost efficiency measures together with client feedback survey results in the context of cost effectiveness</p> <p>Review the proposals developed by the Process Optimization Committee to identify possible cost effectiveness measures that could be reported on in the DPR</p>

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Responsibility Assignment Matrix

Organization	Name	Action Item a) <i>Implement business tools, practices, standards...</i>	Action Item b) <i>Develop list of best practices...</i>	Action Item c) <i>Documenting... options...</i>	Action Item d) <i>Client Feedback Survey</i>	Action Item e) <i>DPR reporting</i>
Integration Office	B. Ritzen	Accountable	Accountable Sign-off	Accountable	Accountable	Accountable
	G. Groulx	Supportive	Responsible	Supportive	Supportive	Supportive
	K. Melnyk	Supportive	Supportive	Supportive	Supportive	Supportive
Management Sector (MS)	J. Oliver	Accountable	Accountable	Accountable	Accountable	Accountable
	G. Quinn	Sign-off		Sign-off	Sign-off	Sign-off
	J. Bromley	Responsible (with L. Robitaille)	Supportive	Responsible (with L. Robitaille)	Consulted	Supportive

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	N. Falcon		Consulted		Responsible	Responsible (with L. Robitaille)
GFOB	D. Schnob	Sign-off	Consulted	Sign-off		Sign-off
	L. Robitaille	Responsible (with J. Bromley)	Supportive	Responsible (with J. Bromley)	Consulted	Responsible (with L. Robitaille)
Process Optimization Initiative	D. Therrien P. Shenher		Consulted			

This list will be updated as additional processes, tools and standards are introduced in support of continuous improvement, including the development of an overarching Net Vote Revenue Framework encompassing a policy, directives and guidelines as well as standard practices and tools that would enable better planning and monitoring of the costs of processing, reviewing and presenting documentary evidence in litigation.

January 2013 Responsible: The person performing the work; lead supporting role

Accountable: The person to whom "Responsible" is Accountable and who is answerable that the work is done on time, meets requirements and is acceptable.

Supportive: A person who provides resources or plays a supporting role in bringing the Action Item to completion

Consulted: This person has information or expertise necessary to Inform the work. Two way communication occurs, typically between "Responsible" and "Consulted".

Inform: This person should be notified when the work is complete or if there is a significant issue. One way communication occurs.

Sign-Off: The person who has the authority to sign off on the completion of a work package indicating that it meets quality standards.

Note: Consultations with other stakeholders and senior management approvals of deliverables beyond what is indicated in the above table will occur, as necessary, under the functional leadership of the responsible individuals.

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BEST PRACTICES THAT WOULD CONTRIBUTE TO COST SAVINGS

The following is a guidance document for managers to inform discussions with their client departments with respect to potential cost savings. Although the proposed list of best practices may not be applicable to all sectors within the Department, managers are encouraged to consider implementation, where applicable.

Objective: To maintain excellence in service delivery while maximizing efficiency and minimizing costs

Assumptions:

- Costs can be minimized through strengthened management practices to reduce the overall cost of legal services;
- Costs can be minimized by reducing and managing the demand for legal services;
- An appropriate balance can be achieved such that excellence and efficiency are maintained while costs are reduced.

Strengthen management practices to reduce the overall cost of legal services	Work with client organizations to reduce and manage the demand for legal services
Strengthen monitoring practices on files that exceed defined thresholds in terms of: <ul style="list-style-type: none"> • number of clients • number of counsel • number of billable hours • costs 	Screen and prioritize requests. <ul style="list-style-type: none"> • This would include encouraging client organizations to assume responsibility for matters currently referred to Justice.
Align the level and number of counsel assigned to a file with its complexity and risk level.	Negotiate level of service with clients early in litigation files; seek settlement mandates where appropriate.
Apply the factors for assessing involvement of counsel in legislative files as set out in <i>Guidelines for Coordinating the Work of Counsel on Legislative Files</i>	Promote client awareness of litigation triggers and costs.
Apply project management approach to major advisory and litigation files.	
Increase reliance on paralegals, where appropriate.	
Maximize existing expertise across portfolios/sectors/regions by proving the use of technology to ensure rapid and effective access to information, such as online research tools, templates databank, improved search mechanisms, improved video-conferencing.	

**2012-2013
Annual Progress Update OAG Recommendations**

Contained in Auditor General Reports:

2011-06 Chapter 3 – Internal Audit
http://www.oag-bvg.gc.ca/internet/English/parl_oag_201106_03_e_35371.html

2007-05 - Chapter 5: Managing the Delivery of Legal Services to Government – Department of Justice Canada
http://www.oag-bvg.gc.ca/internet/English/parl_oag_200705_05_e_17480.html

Rating Guidance:

Level 1 - No progress or insignificant progress

Actions such as striking new committees, having meetings and generating informal plans should be regarded as insignificant progress.

Level 2 - Planning Stage

Formal plans for organizational changes have been created and approved by the appropriate level of management with appropriate resources and a reasonable timetable.

Level 3 - Preparations for implementation

Concrete preparation for implementing a recommendation has been made by hiring or training staff, or developing or acquiring the necessary resources to implement the recommendation.

Level 4 - Substantial Implementation

Structures and processes are in place and integrated within at least some parts of the organization, and some achieved results have been identified. There is also a short-term plan and timetable for full implementation.

Level 5 - Full Implementation

Structures and processes are operating as intended and are fully implemented.

Obsolete: The Department considers the recommendation obsolete or no longer applicable because of unforeseen events or because the issue involved was superseded by the introduction of a new process or program.

Report 2011-06 Chapter 3 – Internal Audit

Recommendation 3.80: *Departments that have not had an external quality assessment should have an assessment conducted as required by the International Standards for the Professional Practice of Internal Auditing and the Treasury Board Policy on Internal Audit.*

2011 Response: Agreed. The Department of Justice is planning to conduct an external quality assessment during the 2011–12 fiscal year.

Responsible: Internal Audit (Cheryl Driscoll, Director, Internal Audit)

Update 2012	Update 2013
Justice Canada's external quality assessment is currently in process. The results of this assessment will be presented to the Departmental Audit Committee at the first DAC meeting in the new fiscal year. Assessment Level: Level 3 - Preparations for implementation	

Report: 2007-05 – Chapter 5- Managing the Delivery of Legal Services to Government – Department of Justice Canada

Recommendation: 5.25 - *In addition to its current management of alternative dispute resolution initiatives, Justice Canada should ensure that it clearly defines each initiative's objectives, estimates the potential cost savings and formally reviews the outcome of initiatives against their objectives*

Department of Justice 2007 Response: The Department agrees with the Auditor General's recommendation, which is consistent with the recent review of the Department's dispute resolution initiative that has resulted in a new mandate focused on providing services to departments supporting long-term prevention and early resolution of disputes. These client-focused services include systems design, legal advisory support, and training, all of which are linked to the departmental priorities of improving practice management and managing the volume of litigation.

Responsible:

Update 2012	Update 2013
<p>1. Analysis of the Federal Experience in Mediation</p> <p>In 2009, the Department of Justice completed an analysis of the federal experience in mediation. The analysis showed that over 90 percent of the civil litigation files examined were settled and over 60 percent of those cases were settled prior to examination for discovery. Negotiation was the most frequently used Dispute Resolution (DR) process.</p> <p>The results of this analysis are being used to inform a number of initiatives aimed at better understanding, implementing and managing DR initiatives. For example:</p> <ul style="list-style-type: none"> • The DR training program was expanded and now reaches a wider audience. • A Dispute Resolution Consultative Group was created in 2011 to provide advice and guidance on the development, implementation and maintenance of projects, policies, processes and tools related to dispute prevention and resolution. The Consultative Group met 4 times in 2011-2012 and identified a number of projects for future development. • The development of a DR Performance Measurement 	<p>1. Analysis of the Federal Experience in Mediation – Not required</p>

Update 2012	Update 2013
<p>Framework (discussed below) was undertaken.</p> <p>Assessment Level: Level 5 - Full implementation</p>	
<p>2. Development of Performance Measurement Tools for Dispute Resolution Initiatives</p> <p>In 2011-2012, the Department of Justice continued to advance its multi-year project aimed at developing performance measurement tools for DR initiatives.</p> <p>A draft Performance Measurement Framework (PMF) was developed in June 2011. The PMF contains a number of elements aimed at ensuring that Justice has systems in place for regular reporting on DR, ongoing and methodologically sound analysis of the value of DR, and information to support operational decision-making on DR in the management of the litigation inventory. In addition, the framework aims to ensure that client departments will have support and advice from Justice in the use of performance measurement in their own DR programs and initiatives.</p> <p>The following key elements of the PMF were developed in fiscal year 2011-2012:</p> <ul style="list-style-type: none"> • A preliminary methodology for quantifying and understanding the impact of various DR mechanisms; • Tools to capture the impact of training and knowledge transfer; and • A draft Guide to Performance Measurement in DR initiatives. (The Guide will be finalized and launched in 2012-2013.) <p>Several different initiatives are underway to support the development of a DPR performance management regime.</p> <p>At the request of AMREC, timelines and deliverables were re-examined with the objective of accelerating the work to respond to the</p>	<p>2. Development of Performance Measurement Tools for Dispute Resolution Initiatives</p>

Commented [J1]: Patrick Vézina is now responsible for this area. He would like to discuss with you.

Update 2012	Update 2013
<p data-bbox="159 368 793 472">Auditor General's specific recommendation. A new work plan is being developed for approval by the end of July. Consideration on future priorities will be re-examined in the context of the Economic Action Plan 2012.</p> <p data-bbox="280 530 715 584">Assessment Level: Level 3 - Preparations for implementation</p>	

Report: 2007-05 – Chapter 5: Managing the Delivery of Legal Services to Government – Department of Justice Canada

Recommendation: 5.62 - *Justice Canada should develop a quality management system or systems for each of its practices to provide senior management with ongoing and reliable assurance that all services meet established minimum quality standard.*

Department of Justice 2007 Response: The Department agrees with the Auditor General's recommendation and will build on the elements of its quality work recognized by the Office of the Auditor General with a view to having a sound quality management approach.

Responsible: Law Practice Management Directorate (Patrick Vézina, Director and General Counsel, Law Practice Management Division)

Commented [J2]: Email sent 1/29 to Patrick Vezina seeking update on 1 and 2.

Commented [J3]: The QAF has been accepted by EC and Patrick can update you on this. Given the situation in his division he would prefer to discuss all elements that require updating before putting pen to paper. This comment is current as of March 22, 2013 and , with the exception of the QA comment, reflects a situation that has been in place since the original request was made.

Update 2012	Update 2013
<p>1. Quality Assurance Framework (QAF)</p> <p>The Department's QAF initiative encompasses three parts, each composed of unique underlying pillars:</p> <ul style="list-style-type: none"> • Part 1 provides contextual information (e.g., the types of legal services delivered, and the Department's service delivery structure and roles and responsibilities) and a definition of "quality" legal services and related quality service standards; • Part 2 provides a detailed inventory of quality assurance tools and processes currently in place across the Department to meet the quality service standards; and • Part 3 will identify quality assurance indicators and will establish an appropriate governance strategy (including functional authority, reporting and continuous improvement); communications plan and implementation plan. <p>Revisions to the QAF were made pursuant to a comprehensive research paper prepared in 2011 that provided globally accepted definitions and practices from the International Organization for</p>	<p>2. Quality Assurance Framework (QAF)</p>

Update 2012	Update 2013
<p>Standards (ISO) and precedents from international, federal, provincial and other government institutions, non-government organizations and legal services providers. Findings from this research paper and further feedback from members of the Justice Quality Assurance Working Group and other internal stakeholders were reflected in revisions to the format and content of Parts 1 and 2 of the QAF and informed work underway on Part 3. (The Working Group has had six meetings so far.)</p> <p>Recommendations regarding the underlying pillars of the QAF will be considered by senior management in summer 2012. The complete QAF is expected to be presented to senior management by the end of 2012. Roll-out of the QAF is expected to commence in early 2013.</p> <p>Assessment 2102: Level 3 - Preparations for implementation</p>	
<p>2. Legal Risk Management (LRM)</p> <p>The main goal of the LRM Renewal initiative is to improve Legal Risk Management (LRM) through a harmonized application of the LRM system across all Justice sectors of activity (i.e., litigation, advisory and legislative) by providing standardized LRM tools, communications and practices that support counsel and clients.</p> <p>The Department completed Phase I of the LRM Renewal initiative. Based on the results of extensive national consultations and pilot projects, recommendations in support of an improved and comprehensive LRM process, including the introduction of a new LRM Grid and Impact Table were presented to and approved by senior management on March 7, 2012.</p> <p>Work in the context of Phase II of the LRM Renewal initiative started in May 2012 and essentially focuses on the elaboration of reference</p>	<p>2. Legal Risk Management (LRM)</p>

Update 2012	Update 2013
<p>documents pertaining to communication of legal risks and on LRM roles and responsibilities, as well as on the elaboration of a new governance framework for LRM. Recommendations flowing from Phase II will be presented to senior management in October 2012.</p> <p>The launch of the new revamped LRM Framework will commence in December 2012 and its implementation will take place from January to March 2012.</p> <p>Assessment Level: Level 4 - Substantial implementation</p>	
<p>3. Knowledge Management Strategy</p> <p>In 2011-2012, Justice fully implemented the four elements of the Department's Knowledge Management Strategy: a Legal Knowledge Management (LKM) portal; building on communities of practice; cultural change; and, human resource tools and planning. Looking forward, a sustained focus on knowledge management will continue to be required.</p> <p>a) Legal Knowledge Management (LKM) Portal - <i>Justipedia</i></p> <p>On February 1st, 2012, the Department's Legal Knowledge Portal was deployed to all practitioners under the name of <i>Justipedia</i>. <i>Justipedia</i> provides a single national system with legal opinions, pleadings and facta, case law and other legal content consolidated, shared and organized by law practice areas with standard tools and common look and feel. Existing legacy systems containing legal material were consolidated into this single repository and are being decommissioned. More than 160,000 documents (legal opinions, pleadings and facta, case law and other sources of legal knowledge) are available to the Justice legal community through <i>Justipedia</i>.</p> <p>b) Building on Communities of Practice</p> <p>A new online tool was made available to all Justice employees in April 2011 to assist in organizing practice group meetings, managing</p>	<p>3. Knowledge Management Strategy – Not required</p>

Update 2012	Update 2013
<p>their memberships as well as advertizing their activities. A new practice group on Insolvency Law was also created. This resulted in an increase of more than 30% in practice group membership.</p> <p>In addition, <i>Justipedia</i> (the legal knowledge portal) was set up according to 38 areas of practice with a view to supporting the exchange and sharing of information amongst practitioners with similar legal practice.</p> <p>c) Cultural Change</p> <p>KM requires a culture where collaboration and sharing are promoted department-wide and where practitioners take ownership in the development of departmental knowledge in their area(s) of practice. A directory of expertise is available through the portal to identify legal experts and practitioners working in the various law practice areas. As part of rolling out <i>Justipedia</i> emphasis was put on the importance of sharing and contributing.</p> <p>Best Practice Guides drafted as a result of the Legal Questions & Answers 2010 initiative are being released and added to <i>Justipedia</i>. These will serve as an example of how collaboration and sharing can improve the efficiency of the practice of law in the Department.</p> <p>d) Human Resource Tools and Planning</p> <p>On October 31, 2011, a document entitled <i>Knowledge Transfer: Guide and Toolkit for the Department of Justice</i> was released and communicated to all employees. This Toolkit provides practical tools to facilitate knowledge transfer within the Department. It includes a Roadmap to assist with identifying where the need for knowledge transfer exists, and which strategies and tools are most suitable to derive the most valuable information from employees.</p> <p>Assessment 2012: Level 5- Full Implementation</p>	

Report: 2007-05 – Chapter 5: Managing the Delivery of Legal Services to Government – Department of Justice Canada

Recommendation: 5.93- *Justice Canada should make improvements to its resource management. The Department should:*

- use management information on workload volumes and costs for all of its legal services to better monitor trends, plan, set priorities, manage resources, analyze service delivery options, and identify opportunities for controlling costs;*
- work with client departments to effectively plan, manage, and improve the cost-effectiveness of their financial arrangements with a view to managing demand for legal services and thereby reducing costs; and*
- ensure that a senior manager with the necessary authority leads the improvement of management practices at the Department and oversees implementation of these changes.*

Department of Justice 2007 Response: The Department agrees with the Auditor General's recommendation. The Department of Justice Canada will continue the work underway to develop approaches to further develop its capacity to use management information to enhance management decisions, and regularize its cost recovery agreements with government departments.

The Department is currently working on putting in place an initiative to better coordinate and integrates its law management practices. The Department will, at the same time, review its management practices to identify and put in place corporate reports to provide management information to support departmental decision making. Senior management authority to lead our work on management practices will be strengthened.

Responsible: Business Practices Division, Office of Strategic Planning and Performance Management (Chantal Quinn, A/Director General, SPPM and Director, Business Practices Division)

Commented [J4]: Email sent 1/29 to Tim and Jodi seeking update.

Commented [J5]: Update provided February 8th. Requires a decision from Chantal Quinn prior to presentation to DAC.

Update 2012	Update 2013
<p>Justice's legal case management application (iCase) and Echo (a companion reporting tool that complements the reporting capabilities of iCase) continue to be used to support corporate reporting needs and to assist Justice managers and client departments in effectively planning, setting priorities, managing resources and managing the demand for legal services. A variety of initiatives have been piloted using Echo to generate standard information on the volume of files, workload effort (hours), and levels of legal risk and complexity, and to respond to specific management information requirements. Documentation on the use of Echo has been developed.</p> <p>The results of the Echo pilots were used to design legal services management dashboards. These dashboards provide case management information to support the planning and management of resources and management of the demand for legal services. The dashboards were well received by senior management. Documentation on the use of the dashboards is being developed and preparations for deployment are underway.</p> <p>As part of a series of changes being introduced to improve cost recovery practices, the Department implemented a more standard approach to the development of cost recovery forecasts for individual client organizations. To support these efforts, Echo was used to generate historical information on level of effort and file inventory data for client organizations. This information supports planning and forecasting for the provision of legal services and is now available directly through the legal services management dashboards.</p> <p>Justice also implemented an improved interface that defines and provides easy access to the suite of iCase reports available to support the management of legal services.</p> <p>Justice is also participating in an initiative led by the Chief Information Officer Branch of the Treasury Board Secretariat aimed at selecting case management software to support the business requirements of departments and agencies across the Government of Canada.</p>	<p>Since the 2007 OAG <i>Audit on Managing the Delivery of Legal Services to Government</i>, Justice Canada has notably improved its resource management practices.</p> <p>An enhanced suite of tools, processes and standards are enabling the Department to use management information on workload volumes and costs to better monitor trends, plan, set priorities, manage resources, analyze service delivery options and identify opportunities for controlling legal services costs and to work with client departments and agencies to effectively plan, manage, and improve the cost effectiveness of their financial arrangements.</p> <ul style="list-style-type: none"> • Since 2009-2010, Justice has been using standardized templates for Memoranda of Understanding (MOU) with client organizations for the provision of legal services. MOUs support transparent and accountable resource management and enable departments and agencies to effectively plan, monitor and manage their demand for legal services. In August 2012, following the introduction of new business standards related to cost recovery, the Department updated its MOU templates. In January 2013, the Department also updated one of the key guidance documents available to promote quality and consistency in the development and implementation of MOUs (i.e., the <i>Accountability Framework for MOUs Related to the Provision of Legal Services</i>) to reflect the new cost recovery business standards and related roles and responsibilities and processes, and to highlight the importance of joint planning discussions that include the consideration of options available to client organizations for controlling their legal services costs. The Department also developed a revised template for the Planning and Forecasting Annex (Annex B) of the MOU template for implementation in 2013-14. The new Annex B template includes an attestation statement to be signed by both the Justice and client Contacts for the Management the MOU confirming that the forecast presented in the MOU reflects the results of joint planning discussions between Justice and the client organization, including consideration of options for controlling legal services costs.

Update 2012	Update 2013
<p>Business process models (BPMs) outlining activities related to the management and delivery of legal services continue to be used to support managers and iCase users in identifying business requirements and managing resources.</p> <p>In order to better integrate managers across the Department in the decision-making and information-sharing processes, Justice introduced changes that streamlined its overall governance structure. The former Law Practice Management Committee and other departmental committees that dealt with management and financial issues have now been consolidated into one entity. The Law Practice Management Directorate within the Management Sector now makes recommendations to senior management through the Department's new governance structure and continues to work in collaboration with various working groups and advisory committees to advance key initiatives related to the management of the practice of law.</p> <p>Assessment Level: Level 4 – Substantial implementation</p>	<ul style="list-style-type: none"> Justice's legal case management application (iCase) and Echo (a companion reporting tool that complements the reporting capabilities of iCase) continue to be used to support corporate reporting needs and to assist Justice managers and client departments in effectively planning, setting priorities, managing resources and managing the demand for legal services. For the past two years, Echo was used to generate historical information on level of effort and file inventory data that, together with historical information on cost recoveries, supported joint planning discussions between Justice and client organizations. In 2012-2013, information derived from Echo also provided key input to the development of efficiency measures that focus on managing the demand and cost of legal services and will support the Department in meeting commitments set out in the Government's 2012 Economic Action Plan. The development of forecasting tools and enhanced reporting capabilities on the cost of legal services implemented through the Cost Recovery Process Improvement Project, have strengthened the collective ability of Justice and its client organizations, to manage budgets more effectively. In December 2012, the Department also commenced a phased implementation of a Legal Services Management Dashboard. The dashboard provides managers with quick and easy access to key legal case management information to support decision making right from their desktop. The various reports presented in the Dashboard help managers to: identify and assess trends; plan, monitor and report on key business activities; manage resources and continuously improve their operations by highlighting areas that may warrant further attention; engage in joint planning discussions with client organizations; and identify options for controlling legal services costs. Guidance material is available to support users in navigating through the various dashboard reports and interpreting information contained therein. In November 2012, an Advisory Committee was established to guide future

Update 2012	Update 2013
	<p>enhancements to the information presented in the dashboard with a view to expanding the dashboard to include information from other domains (e.g., HR, Finance).</p> <ul style="list-style-type: none"> • Business process models (BPMs) developed in 2010-2011, outlining activities related to the management and delivery of legal services continue to be used to support managers and iCase users in identifying business requirements and managing resources. • In March 2011, the Business Practices Division presented its first quarterly report on timekeeping compliance to executive management. Timekeeping supports planning and forecasting, resource management, cost recovery, trend analysis and reporting on results. The quarterly timekeeping report helps senior management understand the evolution and scope of Justice's activities over time, measured in effort, as well as the level of quality/completeness of timekeeping for each direct report. • Consistent and well-documented business processes, tools and standards are in place to facilitate client engagement, enhance transparency and accountability and help ensure a uniform approach to managing and reporting on the provision of legal services. In 2012-2013, Justice compiled an evergreen list of relevant business processes, tools and standards currently available to support informed decision making by client organizations about their legal services requirements and associated costs, including: guidance material, business standards and related communications developed as part of the Cost Recovery Process Improvement (CRPI) Project; the <i>Budget Management Framework</i> i.e., a formal document that provides context, standards and directions for budget management activities within Justice; a communications strategy and material related to announcements on the legal services rates; Treasury Board (TB) submission protocols (including the <u>Week Ahead Report</u> which lists all client led TB subs); business process models that outline activities related to the management and delivery of

Update 2012	Update 2013
	<p>legal services and are used to identify business requirements and support resource management; and templates and guidance material related to MOUs for the provision of legal services. The list will be updated as additional processes, tools and standards are introduced in support of continuous improvement.</p> <p><u>For consideration by CO:</u></p> <ul style="list-style-type: none"> - <i>Do you agree the BPMs (shaded text above) should form part of the above list or be set out in a separate bullet? If you agree, I'll weave that into the cost effectiveness table too.</i> - <i>Do you think the above bullet should go on to discuss things underway e.g., NVR Framework, Duncan's work, Single Litigation File and Advisory sub-committee, process optimization standards and monitoring tools? On the other hand, maybe the above (and below) is sufficient to support status rating of full implementation of this OAG recommendation without opening additional doors. Cost effectiveness table notes NVR Framework and Duncan's work.</i> <p>The Department established the Management Sector in August 2007 and assigned responsibility for implementing the changes recommended by the OAG with respect to law practice management to the ADM, Management Sector. In May 2012, with much of the work in relation to the 2007 OAG Audit completed, some of the work done in the Law Practice Management Directorate (LPMO) within the Management Sector was realigned with other units in the Department and other Divisions within the Sector. The resultant organization is smaller, more focused and streamlined but continues to provide essential services in relation to our national law practice. The Management Sector makes recommendations to senior management through the Department's governance structure and continues to work in collaboration with various working groups and advisory committees to advance key initiatives related to the management of the practice of law.</p>

Commented [J6]: Please check with Chantal Quinn to confirm what she wishes to do with this.

Update 2012	Update 2013
	Assessment Level: Level 5 - Full Implementation

Report 2011-06 Chapter 3 – Internal Audit

Recommendation 3.80: *Departments that have not had an external quality assessment should have an assessment conducted as required by the International Standards for the Professional Practice of Internal Auditing and the Treasury Board Policy on Internal Audit.*

2011 Response: Agreed. The Department of Justice is planning to conduct an external quality assessment during the 2011–12 fiscal year.

Responsible: Internal Audit (Cheryl Driscoll, Director, Internal Audit)

Update 2012	Update 2013
Justice Canada's external quality assessment is currently in process. The results of this assessment will be presented to the Departmental Audit Committee at the first DAC meeting in the new fiscal year. Assessment Level: Level 3 - Preparations for implementation	

Tilhoff, Tanya

From: Falcon, Nicholas
Sent: 2013-Jun-19 9:51 AM
To: Kanani, Rahima
Subject: FW: Réponse aux recommandations de la VGC

Follow Up Flag: Follow up
Flag Status: Flagged

Rahima,

Please keep this e-mail chain for the file as confirmation that the management action plan update accurately reflects management's perspective.

Nick Falcon
Senior Director and Strategic Advisor
Internal Audit Branch
Justice Canada
222 Queen Street, 11th Floor, Room 1144
Ottawa, Ontario Canada K1A 0H8
E-mail: nfalcon@justice.gc.ca
Internet: www.justice.gc.ca
Phone: (613) 948-3496
Government of Canada

From: Vezina, Patrick
Sent: 2013-Jun-19 9:42 AM
To: Falcon, Nicholas
Cc: Brisebois, Jo-Anne
Subject: RE: Réponse aux recommandations de la VGC

Merci Nick.

Patrick

From: Falcon, Nicholas
Sent: 2013-Jun-19 9:37 AM
To: Vezina, Patrick
Cc: Brisebois, Jo-Anne
Subject: RE: Réponse aux recommandations de la VGC

Okay Patrick. We have updated the MAP template using the agreed upon text (i.e., without the reference to the Performance Measurement Framework)

From: Vezina, Patrick
Sent: 2013-Jun-18 3:12 PM
To: Falcon, Nicholas
Cc: Driscoll, Cheryl; Brisebois, Jo-Anne
Subject: Re: Réponse aux recommandations de la VGC

As per my voicemail, the framework was never finalized so I suggest no to add this sentence.

Patrick
818-1778

From: Falcon, Nicholas
Sent: 2013-Jun-18 1:45 PM
To: Vezina, Patrick
Cc: Driscoll, Cheryl; Brisebois, Jo-Anne
Subject: FW: Réponse aux recommandations de la VGC

Patrick,

Based on our brief telephone conversation, I would suggest the following revisions.....

At the time of the OAG audit, files examined by the OAG related to dispute resolution initiatives in which the Department supported client departments in designing and launching "pilot" projects whereby the client departments and agencies could develop practices and processes for ensuring that they were able to incorporate due consideration of dispute prevention and resolution into their policy and program development and delivery activities. In its review of Justice Canada files, the OAG found that the dispute resolution projects lacked clear objectives, and that there was a need to estimate potential cost savings and to review the outcome of the dispute prevention and resolution initiatives against clearly stated project objectives. (Note that some of the files examined by the OAG related to "pilot" projects funded by the Department of Justice through the *Dispute Resolution Fund* which was terminated in 2002-03.) As per a Management Action Plan update prepared in June 2012, with the assistance of the Evaluation Division, a performance measurement framework was developed to enable tracking of the outcomes and potential cost savings to be realized by Justice Canada funded dispute resolution projects.

However, in fiscal year 2012-13, as part of a series of internal budget compression measures, the Department ceased ~~working on~~ discrete funding dispute resolution projects of this nature and redeployed resources to other departmental priorities. Consequently, the recommendation is deemed to be obsolete. Nevertheless, Department of Justice legal counsel continue to support client departments and agencies by providing legal advice where dispute resolution is a potential option for resolution of both legal advisory and litigation matters.

Thanks,

Nick Falcon
Senior Director and Strategic Advisor
Internal Audit Branch
Justice Canada
222 Queen Street, 11th Floor, Room 1144
Ottawa, Ontario Canada K1A 0H8
E-mail: nfalcon@justice.gc.ca
Internet: www.justice.gc.ca
Phone: (613) 948-3496
Government of Canada

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: REPORT OF THE AUDITOR GENERAL OF CANADA 2007

OAG Audit Recommendation # 5.25 - 2
Report 2007-05 – Chapter 5

Risk Ranking:

Managing the Delivery of Legal Services to Government – Department of Justice Canada

In addition to its current management of alternative dispute resolution initiatives, Justice Canada should ensure that it clearly defines each initiative's objectives, estimates the potential cost savings and formally reviews the outcome of initiatives against their objectives

Management Response and Action Plan

The Department agrees with the Auditor General's recommendation, which is consistent with the recent review of the Department's dispute resolution initiative that has resulted in a new mandate focused on providing services to departments supporting long-term prevention and early resolution of disputes. These client-focused services include systems design, legal advisory support, and training, all of which are linked to the departmental priorities of improving practice management and managing the volume of litigation.

Last Update (June 2012)

2. Development of Performance Measurement Tools for Dispute Resolution Initiatives

In 2011-2012, the Department of Justice continued to advance its multi-year project aimed at developing performance measurement tools for DR initiatives.

A draft Performance Measurement Framework (PMF) was developed in June 2011. The PMF contains a number of elements aimed at ensuring that Justice has systems in place for regular reporting on DR, ongoing and methodologically sound analysis of the value of DR, and information to support operational decision-making on DR in the management of the litigation inventory. In addition, the framework aims to ensure that client departments will have support and advice from Justice in the use of performance measurement in their own DR programs and initiatives.

The following key elements of the PMF were developed in fiscal year 2011-2012:

- A preliminary methodology for quantifying and understanding the impact of various DR mechanisms;
- Tools to capture the impact of training and knowledge transfer; and
- A draft Guide to Performance Measurement in DR initiatives. (The Guide will be finalized and launched in 2012-2013.)

Several different initiatives are underway to support the development of a DPR performance management regime.

At the request of AMREC, timelines and deliverables were re-examined with the objective of accelerating the work to respond to the Auditor General's specific recommendation. A new work plan is being developed for approval by the end of July. Consideration on future priorities will be re-examined in the context of the Economic Action Plan 2012.

Assessment Level: Level 3 - Preparations for implementation

Update:

<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input checked="" type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

Current Status as at March 31, 2013 (please provide details on progress against the management action plan):

Coordinator Name:	Jo-Anne Brisebois	Tel#:	(613) 957-4220
OPI:	Patrick Vézina	Tel#:	(613) 957-4670
Also sent to:			

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: REPORT OF THE AUDITOR GENERAL OF CANADA 2007

At the time of the audit, strategies examined by the OAG related to a DR Fund which had been approved by Treasury Board. The DR Fund is no longer in place. This recommendation is therefore considered obsolete.

Estimated Date of Completion:

Coordinator Name:	Jo-Anne Brisebois	Tel#:	(613) 957-4220
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Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: REPORT OF THE AUDITOR GENERAL OF CANADA 2007

OAG Audit Recommendation # 5.62 - 1
Report 2007-05 - Chapter 5

Risk Ranking:

Managing the Delivery of Legal Services to Government – Department of Justice Canada

Justice Canada should develop a quality management system or systems for each of its practices to provide senior management with ongoing and reliable assurance that all services meet established minimum quality standard.

Management Response and Action Plan

The Department agrees with the Auditor General's recommendation and will build on the elements of its quality work recognized by the Office of the Auditor General with a view to having a sound quality management approach.

Last Update (June 2012)

1. Quality Assurance Framework (QAF)

The Department's QAF initiative encompasses three parts, each composed of unique underlying pillars:

- Part 1 provides contextual information (e.g., the types of legal services delivered, and the Department's service delivery structure and roles and responsibilities) and a definition of "quality" legal services and related quality service standards;
- Part 2 provides a detailed inventory of quality assurance tools and processes currently in place across the Department to meet the quality service standards; and
- Part 3 will identify quality assurance indicators and will establish an appropriate governance strategy (including functional authority, reporting and continuous improvement), communications plan and implementation plan.

Revisions to the QAF were made pursuant to a comprehensive research paper prepared in 2011 that provided globally accepted definitions and practices from the International Organization for Standards (ISO) and precedents from international, federal, provincial and other government institutions, non-government organizations and legal services providers. Findings from this research paper and further feedback from members of the Justice Quality Assurance Working Group and other internal stakeholders were reflected in revisions to the format and content of Parts 1 and 2 of the QAF and informed work underway on Part 3. (The Working Group has had six meetings so far.)

Recommendations regarding the underlying pillars of the QAF will be considered by senior management in summer 2012. The complete QAF is expected to be presented to senior management by the end of 2012. Roll-out of the QAF is expected to commence in early 2013.

Assessment 2102: Level 3 - Preparations for implementation

Update:

<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input checked="" type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

Current Status as at March 31, 2013 (please provide details on progress against the management action plan):

QAF was fully endorsed by Management Committee on March 7, 2013 and by Executive Committee on March 27, 2013. A QAF is now in place at Justice for the provision of high quality legal services to the Government. The Management Sector considers this recommendation completed.

Coordinator Name:	Jo-Anne Brisebois	Tel#:	(613) 957-4220
OPI:	Patrick Vézina	Tel#:	(613) 957-4670
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**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: REPORT OF THE AUDITOR GENERAL OF CANADA 2007

Estimated Date of Completion:

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MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: REPORT OF THE AUDITOR GENERAL OF CANADA 2007

OAG Audit Recommendation # 5.62 - 2
Report 2007-05 – Chapter 5

Risk Ranking:

Managing the Delivery of Legal Services to Government – Department of Justice Canada

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Management Response and Action Plan

The Department agrees with the Auditor General's recommendation and will build on the elements of its quality work recognized by the Office of the Auditor General with a view to having a sound quality management approach.

Last Update (June 2012)

2. Legal Risk Management (LRM)

The main goal of the LRM Renewal initiative is to improve Legal Risk Management (LRM) through a harmonized application of the LRM system across all Justice sectors of activity (i.e., litigation, advisory and legislative) by providing standardized LRM tools, communications and practices that support counsel and clients.

The Department completed Phase I of the LRM Renewal initiative. Based on the results of extensive national consultations and pilot projects, recommendations in support of an improved and comprehensive LRM process, including the introduction of a new LRM Grid and Impact Table were presented to and approved by senior management on March 7, 2012.

Work in the context of Phase II of the LRM Renewal initiative started in May 2012 and essentially focuses on the elaboration of reference documents pertaining to communication of legal risks and on LRM roles and responsibilities, as well as on the elaboration of a new governance framework for LRM. Recommendations flowing from Phase II will be presented to senior management in October 2012.

The launch of the new revamped LRM Framework will commence in December 2012 and its implementation will take place from January to March 2012.

Assessment Level: Level 4 - Substantial implementation

Update:

☐ **Level 1** (No or insignificant progress)

☐ **Level 2** (Planning Stage: plans created & approved)

☐ **Level 3** (Preparing to implement: hiring/training/developing/acquiring resources to implement)

☐ **Level 4** (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)

☒ **Level 5** (Full implementation – Structures & processes operating as intended and are fully implemented)

☐ **Obsolete** (Department considers the recommendation obsolete or no longer applicable)

Current Status as at March 31, 2013 (please provide details on progress against the management action plan):

Roll-out of LRM Renewal is now under way, including national training of counsel and paralegals. This activity is consequently considered completed for the purposes of this audit.

Coordinator Name:	Jo-Anne Brisebois	Tel#:	(613) 957-4220
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OAG Audit Recommendation # 5.25 - 2
Report 2007-05 - Chapter 5

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Managing the Delivery of Legal Services to Government – Department of Justice Canada

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The following key elements of the PMF were developed in fiscal year 2011-2012:

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- A draft Guide to Performance Measurement in DR initiatives. (The Guide will be finalized and launched in 2012-2013.)

Several different initiatives are underway to support the development of a DPR performance management regime.

At the request of AMREC, timelines and deliverables were re-examined with the objective of accelerating the work to respond to the Auditor General's specific recommendation. A new work plan is being developed for approval by the end of July. Consideration on future priorities will be re-examined in the context of the Economic Action Plan 2012.

Assessment Level: Level 3 - Preparations for implementation

Update:

<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
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<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input checked="" type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

Current Status as at March 31, 2013 (please provide details on progress against the management action plan):

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MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

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Upon closer examination of the OAG's report, it is suggested that this recommendation be considered obsolete. The OAG had reviewed documentation related to five strategies that had been funded through the use of a DR Fund, established through TBS. Therefore the comments contained in the OAG report relate specifically to the management of these initiatives. This DR Fund is no longer in place. This recommendation is therefore considered obsolete.

Nevertheless, significant work has been accomplished by LPMD to support counsel and client departments on DR, such as: providing legal advice on advisory, litigation and policy files; developing DR tools (e.g. update to the Annotated Commercial Arbitration Act and to the model clause inventory); developing and delivering training on core negotiation, mediation and arbitration skills. Work began on drafting a document to present the roles and responsibilities between client departments and the Department of Justice, and within the Department. However, as a result of the Deficit Reduction Action Plan, resources dedicated to law practice management, including DR have been reduced. A strategic discussion on the future directions of law practice management is scheduled to take place at the May 8 Executive Committee meeting. The Management Sector awaits the discussion at EC before advancing further on its work.

Estimated Date of Completion:

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MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: REPORT OF THE AUDITOR GENERAL OF CANADA 2007

OAG Audit Recommendation # 5.62 - 1
Report 2007-05 - Chapter 5

Risk Ranking:

Managing the Delivery of Legal Services to Government – Department of Justice Canada

Justice Canada should develop a quality management system or systems for each of its practices to provide senior management with ongoing and reliable assurance that all services meet established minimum quality standard.

Management Response and Action Plan

The Department agrees with the Auditor General's recommendation and will build on the elements of its quality work recognized by the Office of the Auditor General with a view to having a sound quality management approach.

Last Update (June 2012)

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- Part 3 will identify quality assurance indicators and will establish an appropriate governance strategy (including functional authority, reporting and continuous improvement), communications plan and implementation plan.

Revisions to the QAF were made pursuant to a comprehensive research paper prepared in 2011 that provided globally accepted definitions and practices from the International Organization for Standards (ISO) and precedents from international, federal, provincial and other government institutions, non-government organizations and legal services providers. Findings from this research paper and further feedback from members of the Justice Quality Assurance Working Group and other internal stakeholders were reflected in revisions to the format and content of Parts 1 and 2 of the QAF and informed work underway on Part 3. (The Working Group has had six meetings so far.)

Recommendations regarding the underlying pillars of the QAF will be considered by senior management in summer 2012. The complete QAF is expected to be presented to senior management by the end of 2012. Roll-out of the QAF is expected to commence in early 2013.

Assessment 2102: Level 3 - Preparations for implementation

Update:

<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input checked="" type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

Current Status as at March 31, 2013 (please provide details on progress against the management action plan):

QAF was fully endorsed by Management Committee on March 7, 2013 and by Executive Committee on March 27, 2013. A QAF is now in place at Justice for the provision of high quality legal services to the Government. The Management Sector considers this recommendation completed.

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Audit Name: REPORT OF THE AUDITOR GENERAL OF CANADA 2007

OAG Audit Recommendation # 5.62 - 2
Report 2007-05 - Chapter 5

Risk Ranking:

Managing the Delivery of Legal Services to Government – Department of Justice Canada

Justice Canada should develop a quality management system or systems for each of its practices to provide senior management with ongoing and reliable assurance that all services meet established minimum quality standard.

Management Response and Action Plan

The Department agrees with the Auditor General's recommendation and will build on the elements of its quality work recognized by the Office of the Auditor General with a view to having a sound quality management approach.

Last Update (June 2012)

2. Legal Risk Management (LRM)

The main goal of the LRM Renewal initiative is to improve Legal Risk Management (LRM) through a harmonized application of the LRM system across all Justice sectors of activity (i.e., litigation, advisory and legislative) by providing standardized LRM tools, communications and practices that support counsel and clients.

The Department completed Phase I of the LRM Renewal initiative. Based on the results of extensive national consultations and pilot projects, recommendations in support of an improved and comprehensive LRM process, including the introduction of a new LRM Grid and Impact Table were presented to and approved by senior management on March 7, 2012.

Work in the context of Phase II of the LRM Renewal initiative started in May 2012 and essentially focuses on the elaboration of reference documents pertaining to communication of legal risks and on LRM roles and responsibilities, as well as on the elaboration of a new governance framework for LRM. Recommendations flowing from Phase II will be presented to senior management in October 2012.

The launch of the new revamped LRM Framework will commence in December 2012 and its implementation will take place from January to March 2012.

Assessment Level: Level 4 - Substantial implementation

Update:

<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input checked="" type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

Current Status as at March 31, 2013 (please provide details on progress against the management action plan):

Roll-out of LRM Renewal is now under way, including national training of counsel and paralegals. This activity is consequently considered completed for the purposes of this audit.

Coordinator Name:	Jo-Anne Brisebois	Tel#:	(613) 957-4220
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**MANAGEMENT ACTION PLAN FOLLOW-UP
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ANNEX 1: AUDIT MANAGEMENT ACTION PLANS AND STATUS UPDATES

AUDIT	REC #	OFFICE OF PRIMARY INTEREST	RECOMMENDATION	MGMT RESPONSE	Self-Assessment as at March 31, 2013	Internal Audit Comment
Peoplesoft HR Management System - March 2011	7	Joan Pratt Cc: Jo-Anne Brisebois	<u>Back ups and Business Continuity Planning</u> It is recommended that the DG, HRPDD ensure that the criticality of PeopleSoft is assessed through a BIA, and that a BCP is completed for PeopleSoft.	Agreed. HRPDD and the IMB will work in collaboration to ensure that the assessment and plan are completed in conformity with the department's guide to business continuity. Completion date: By March 31, 2012.	On Track The HR Business Continuity Plan was used as the basis for the development of a PeopleSoft BCP. The PSoft BCP is complete and is referenced in an addendum, developed by IMB, of an IT BCP related to Corporate Applications. The PeopleSoft BCP is being updated to include the April, 2013 version of the HR BCP. The March 31, 2013 deadline has been met.	As evidence to support the self-assessment, a Business Continuity Plan consisting solely of a contact list was supplied. This is insufficient to support a Level 5 self-assessment. IAB requires access to the Business Impact Analysis assessing the criticality of the PeopleSoft system and if appropriate a completed Business Continuity Plan that meets departmental and government wide standards and guidance.
OAG 2007	5.62 1	Patrick Vézina Cc: Jo-Anne Brisebois	<u>Managing the Delivery of Legal Services to Government – Department of Justice Canada</u> Justice Canada should develop a quality management system or systems for each of its practices to provide senior management with ongoing and reliable assurance that all services meet established minimum quality standard	The Department agrees with the Auditor General's recommendation and will build on the elements of its quality work recognized by the Office of the Auditor General with a view to having a sound quality management approach.	QAF was fully endorsed by Management Committee on March 7, 2013 and by Executive Committee on March 27, 2013. A QAF is now in place at Justice for the provision of high quality legal services to the Government. The Management Sector considers this recommendation completed.	In order to support a level 5 assessment, evidence is required to demonstrate that the Quality Assurance Framework is able to provide senior management with ongoing and reliable assurance that all services meet minimum quality standards.
OAG 2007	5.62 2	Patrick Vézina Cc: Jo-Anne Brisebois	<u>Managing the Delivery of Legal Services to Government – Department of Justice Canada</u> Justice Canada should develop a quality management system or systems for each of its practices to provide senior management with ongoing and reliable assurance that all services meet established minimum quality standard.	The Department agrees with the Auditor General's recommendation and will build on the elements of its quality work recognized by the Office of the Auditor General with a view to having a sound quality management approach.	Roll-out of LRM Renewal is now under way, including national training of counsel and paralegals. This activity is consequently considered completed for the purposes of this audit.	In order to support a level 5 assessment, evidence is required to demonstrate that the LRM Renewal initiatives provide senior management with ongoing and reliable assurance that all services meet established minimum quality standards.
OAG 2007	5.25 2	Patrick Vézina Cc: Jo-Anne Brisebois	<u>Managing the Delivery of Legal Services to Government – Department of Justice Canada</u> In addition to its current management of alternative dispute resolution initiatives, Justice Canada should ensure that it clearly defines each initiative's objectives, estimates the potential cost savings and formally reviews the outcome of initiatives against their objectives	The Department agrees with the Auditor General's recommendation, which is consistent with the recent review of the Department's dispute resolution initiative that has resulted in a new mandate focused on providing services to departments supporting long-term prevention and early resolution of disputes. These client-focused services include systems design, legal advisory support, and training, all of which are linked to the departmental priorities of improving practice management and managing the volume of litigation.	At the time of the audit, strategies examined by the OAG related to a DR Fund which had been approved by Treasury Board. The DR Fund is no longer in place. This recommendation is therefore considered obsolete.	In order to support the assessment that the recommendation is obsolete, the following information / clarification is required: the date at which the Dispute Resolution Fund expired; a management statement that the Department is no longer undertaking DR initiatives; and, a management statement clarifying that dispute resolution is considered and discussed with clients on all litigation matters where DR is a potential option for resolution of the matter.

ANNEX 1: AUDIT MANAGEMENT ACTION PLANS AND STATUS UPDATES

OAG 2007	5.93	<p>Chantal Quinn</p> <p>Cc: Jo-Anne Brisebois</p> <p>Cc: Jodi Bromley</p>	<p>Managing the Delivery of Legal Services to Government – Department of Justice Canada</p> <p>Justice Canada should make improvements to its resource management. The Department should:</p> <ul style="list-style-type: none"> - use management information on workload volumes and costs for all of its legal services to better monitor trends, plan, set priorities, manage resources, analyze service delivery options, and identify opportunities for controlling costs; - work with client departments to effectively plan, manage, and improve the cost-effectiveness of their financial arrangements with a view to managing demand for legal services and thereby reducing costs; and - ensure that a senior manager with the necessary authority leads the improvement of management practices at the Department and oversees implementation of these changes. 	<p>The Department agrees with the Auditor General's recommendation. The Department of Justice Canada will continue the work underway to develop approaches to further develop its capacity to use management information to enhance management decisions, and regularize its cost recovery agreements with government departments.</p> <p>The Department is currently working on putting in place an initiative to better coordinate and integrates its law management practices. The Department will, at the same time, review its management practices to identify and put in place corporate reports to provide management information to support departmental decision making. Senior management authority to lead our work on management practices will be strengthened.</p>	<p>Since the 2007 OAG Audit on Managing the Delivery of Legal Services to Government, Justice Canada has notably improved its resource management practices.</p> <ul style="list-style-type: none"> • An enhanced suite of tools, processes and standards are enabling the Department to: - use management information on workload volumes and costs to better monitor trends, plan, set priorities, manage resources, analyze service delivery options and identify opportunities for controlling legal services costs; and - work with client organizations to effectively plan, manage, and improve the cost effectiveness of legal services. • In 2009-2010, Justice introduced standard templates for Memoranda of Understanding (MOU) with client organizations for the provision of legal services. MOUs support transparent and accountable resource management and enable departments and agencies to effectively plan, monitor and manage their demand for legal services. In August 2012, following the introduction of new business standards related to cost recovery, the Department updated the MOU templates. In January 2013, the Department also updated a key supporting guidance documents that promotes quality and consistency in the development and implementation of MOUs (i.e., the Accountability Framework for MOUs Related to the Provision of Legal Services) to reflect the new business standards, roles, responsibilities and processes for cost recovery, and to highlight the importance of joint planning discussions. The Department also developed a revised template for the Planning and Forecasting Annex (entitled Annex B) of the MOU for implementation in 2013-14. The new Annex B template includes an attestation statement to be signed by both the Justice and client Contacts for the Management the MOU confirming that the forecast presented in the MOU reflects the results of joint planning discussions between Justice and the client organization, including consideration of options for controlling legal services costs. • The development of forecasting tools and enhanced reporting capabilities on the cost of legal services implemented through the Cost Recovery Process Improvement Project, have strengthened the collective ability of Justice and its client organizations to make informed decisions about legal services requirements and associated costs. • Justice's legal case management application (iCase) and Echo (a companion reporting tool that complements the reporting capabilities of iCase) continue to be used to support corporate reporting needs and to assist Justice managers and client departments in effectively planning, setting priorities, managing resources and managing the demand for legal services. For the past two years, the Department used Echo to generate historical information on level of effort and file inventory data that, together with historical information on cost recoveries, supported joint planning discussions between Justice and client organizations. In 2012-2013, information derived from Echo (and other sources) also provided key input to the development of efficiency measures that focus on managing the demand and cost of legal services and will support the Department in meeting commitments set out in the Government's 2012 Economic Action Plan. Access to Echo was extended and is now being used by financial and business analysts across the Department. • In December 2012, the Department also commenced a phased implementation of a Legal Services Management Dashboard. The dashboard provides managers with quick and easy access to key legal case management information to support decision making right from their desktop. The various reports presented in the Dashboard help managers to: identify and assess trends; plan, monitor and report on key business activities; manage resources and continuously improve their operations by highlighting areas that may warrant further attention; engage in joint planning discussions with client organizations; and identify options for controlling legal services costs. Guidance material is available to support users in navigating through the various dashboard reports and interpreting information contained therein. In November 2012, an Advisory Committee was established to guide future enhancements to the information presented in the dashboard with a view to expanding the dashboard to include information from other domains (e.g., HR, Finance). • Business process models developed in 2010-2011, outlining activities related to the management and delivery of legal services are available to support managers and business analysts in identifying business requirements and opportunities for process improvements. • The Business Practices Division reports on timekeeping compliance to executive management. Timekeeping information supports planning and forecasting, resource management, cost recovery, trend analysis and reporting on results. Regular timekeeping reports help senior management understand the evolution and scope of Justice's activities over time, measured in effort, as well as the level of quality and completeness of timekeeping information for each direct report. Internal Audit is also finalizing an audit on timekeeping compliance which will identify opportunities for continuous improvement in existing practices and management controls. • Consistent and well-documented business processes, tools and standards are in place to facilitate client engagement, enhance transparency and accountability and help ensure a uniform approach to managing and reporting on the provision of legal services. In 2012-2013, Justice compiled an evergreen list of relevant business processes, tools and standards currently available to support informed decision making by client organizations about their legal services requirements and associated costs, including: guidance material, business standards and related communications developed as part of the Cost Recovery Process Improvement (CRPI) Project; the Budget Management Framework i.e., a formal document that provides context, standards and directions for budget management activities within Justice; a communications strategy and material related to announcements on the legal services rates; Treasury Board (TB) submission protocols (including the Week Ahead Report which lists all client led TB subs); and templates and guidance material related to MOUs for the provision of legal services. The list will be updated as additional processes, tools and standards are introduced in support of continuous improvement. <p>The Department established the Management Sector in August 2007 and assigned responsibility for implementing the changes recommended by the OAG with respect to law practice management to the ADM, Management Sector. In May 2012, with much of the work in relation to the 2007 OAG Audit completed, some of the work done in the Law Practice Management Directorate (LPM) within the Management Sector was realigned with other units in the Department and other Divisions within the Sector. The resultant organization, while smaller, continues to provide essential services in relation to our national law practice. The Management Sector makes recommendations to senior management through the Department's governance structure and continues to work in collaboration with various working groups and advisory committees to advance key initiatives related to the management of the practice of law.</p>	<p>In light of the observations, key findings and recommendations contained in the draft Audit of iCase / timekeeping compliance, IAB cannot support a level 5 assessment.</p>
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ANNEX 1: AUDIT MANAGEMENT ACTION PLANS AND STATUS UPDATES

AUDIT	REC #	OFFICE OF PRIMARY INTEREST	RECOMMENDATION	MGMT RESPONSE	Self-Assessment as at March 31, 2013	Internal Audit Comment
Peoplesoft HR Management System - March 2011	7	Joan Pratt Cc: Jo-Anne Brisebois	<u>Back ups and Business Continuity Planning</u> It is recommended that the DG, HRPDD ensure that the criticality of PeopleSoft is assessed through a BIA, and that a BCP is completed for PeopleSoft.	Agreed. HRPDD and the IMB will work in collaboration to ensure that the assessment and plan are completed in conformity with the department's guide to business continuity. Completion date: By March 31, 2012.	On Track The HR Business Continuity Plan was used as the basis for the development of a PeopleSoft BCP. The PSoft BCP is complete and is referenced in an addendum, developed by IMB, of an IT BCP related to Corporate Applications. The PeopleSoft BCP is being updated to include the April, 2013 version of the HR BCP. The March 31, 2013 deadline has been met.	As evidence to support the self-assessment, a Business Continuity Plan consisting solely of a contact list was supplied. This is insufficient to support a Level 5 self-assessment. IAB requires access to the Business Impact Analysis assessing the criticality of the PeopleSoft system and if appropriate a completed Business Continuity Plan that meets departmental and government wide standards and guidance.
OAG 2007	5.62 1	Patrick Vézina Cc: Jo-Anne Brisebois	<u>Managing the Delivery of Legal Services to Government – Department of Justice Canada</u> Justice Canada should develop a quality management system or systems for each of its practices to provide senior management with ongoing and reliable assurance that all services meet established minimum quality standard	The Department agrees with the Auditor General's recommendation and will build on the elements of its quality work recognized by the Office of the Auditor General with a view to having a sound quality management approach.	QAF was fully endorsed by Management Committee on March 7, 2013 and by Executive Committee on March 27, 2013. A QAF is now in place at Justice for the provision of high quality legal services to the Government. The Management Sector considers this recommendation completed.	In order to support a level 5 assessment, evidence is required to demonstrate that the Quality Assurance Framework is able to provide senior management with ongoing and reliable assurance that all services meet minimum quality standards.
OAG 2007	5.62 2	Patrick Vézina Cc: Jo-Anne Brisebois	<u>Managing the Delivery of Legal Services to Government – Department of Justice Canada</u> Justice Canada should develop a quality management system or systems for each of its practices to provide senior management with ongoing and reliable assurance that all services meet established minimum quality standard.	The Department agrees with the Auditor General's recommendation and will build on the elements of its quality work recognized by the Office of the Auditor General with a view to having a sound quality management approach.	Roll-out of LRM Renewal is now under way, including national training of counsel and paralegals. This activity is consequently considered completed for the purposes of this audit.	In order to support a level 5 assessment, evidence is required to demonstrate that the LRM Renewal initiatives provide senior management with ongoing and reliable assurance that all services meet established minimum quality standards.
OAG 2007	5.25 2	Patrick Vézina Cc: Jo-Anne Brisebois	<u>Managing the Delivery of Legal Services to Government – Department of Justice Canada</u> In addition to its current management of alternative dispute resolution initiatives, Justice Canada should ensure that it clearly defines each initiative's objectives, estimates the potential cost savings and formally reviews the outcome of initiatives against their objectives	The Department agrees with the Auditor General's recommendation, which is consistent with the recent review of the Department's dispute resolution initiative that has resulted in a new mandate focused on providing services to departments supporting long-term prevention and early resolution of disputes. These client-focused services include systems design, legal advisory support, and training, all of which are linked to the departmental priorities of improving practice management and managing the volume of litigation.	At the time of the audit, strategies examined by the OAG related to a DR Fund which had been approved by Treasury Board. The DR Fund is no longer in place. This recommendation is therefore considered obsolete.	In order to support the assessment that the recommendation is obsolete, the following information / clarification is required: the date at which the Dispute Resolution Fund expired; a management statement that the Department is no longer undertaking DR initiatives; and, a management statement clarifying that dispute resolution is considered and discussed with clients on all litigation matters where DR is a potential option for resolution of the matter.

ANNEX 1: AUDIT MANAGEMENT ACTION PLANS AND STATUS UPDATES

OAG 2007	5.93	<p>Managing the Delivery of Legal Services to Government – Department of Justice Canada</p> <p>Justice Canada should make improvements to its resource management. The Department should:</p> <ul style="list-style-type: none"> - use management information on workload volumes and costs for all of its legal services to better monitor trends, plan, set priorities, manage resources, analyze service delivery options, and identify opportunities for controlling costs; - work with client departments to effectively plan, manage, and improve the cost-effectiveness of their financial arrangements with a view to managing demand for legal services and thereby reducing costs; and - ensure that a senior manager with the necessary authority leads the improvement of management practices at the Department and oversees implementation of these changes. 	<p>The Department agrees with the Auditor General's recommendation. The Department of Justice Canada will continue the work underway to develop approaches to further develop its capacity to use management information to enhance management decisions, and regularize its cost recovery agreements with government departments.</p> <p>The Department is currently working on putting in place an initiative to better coordinate and integrates its law management practices. The Department will, at the same time, review its management practices to identify and put in place corporate reports to provide management information to support departmental decision making. Senior management authority to lead our work on management practices will be strengthened.</p>	<p>Since the 2007 OAG Audit on Managing the Delivery of Legal Services to Government, Justice Canada has notably improved its resource management practices.</p> <ul style="list-style-type: none"> - An enhanced suite of tools, processes and standards are enabling the Department to: - use management information on workload volumes and costs to better monitor trends, plan, set priorities, manage resources, analyze service delivery options and identify opportunities for controlling legal services costs; and - work with client organizations to effectively plan, manage, and improve the cost effectiveness of legal services. - In 2009-2010, Justice introduced standard templates for Memoranda of Understanding (MOU) with client organizations for the provision of legal services. MOUs support transparent and accountable resource management and enable departments and agencies to effectively plan, monitor and manage their demand for legal services. In August 2012, following the introduction of new business standards related to cost recovery, the Department updated the MOU templates. In January 2013, the Department also updated a key supporting guidance documents that promotes quality and consistency in the development and implementation of MOUs (i.e., the Accountability Framework for MOUs Related to the Provision of Legal Services) to reflect the new business standards, roles, responsibilities and processes for cost recovery, and to highlight the importance of joint planning discussions. The Department also developed a revised template for the Planning and Forecasting Annex (entitled Annex B) of the MOU for implementation in 2013-14. The new Annex B template includes an attestation statement to be signed by both the Justice and client Contacts for the Management the MOU confirming that the forecast presented in the MOU reflects the results of joint planning discussions between Justice and the client organization, including consideration of options for controlling legal services costs. - The development of forecasting tools and enhanced reporting capabilities on the cost of legal services implemented through the Cost Recovery Process Improvement Project, have strengthened the collective ability of Justice and its client organizations to make informed decisions about legal services requirements and associated costs. - Justice's legal case management application (iCase) and Echo (a companion reporting tool that complements the reporting capabilities of iCase) continue to be used to support corporate reporting needs and to assist Justice managers and client departments in effectively planning, setting priorities, managing resources and managing the demand for legal services. For the past two years, the Department used Echo to generate historical information on level of effort and file inventory data that, together with historical information on cost recoveries, supported joint planning discussions between Justice and client organizations. In 2012-2013, information derived from Echo (and other sources) also provided key input to the development of efficiency measures that focus on managing the demand and cost of legal services and will support the Department in meeting commitments set out in the Government's 2012 Economic Action Plan. Access to Echo was extended and is now being used by financial and business analysts across the Department. - In December 2012, the Department also commenced a phased implementation of a Legal Services Management Dashboard. The dashboard provides managers with quick and easy access to key legal case management information to support decision making right from their desktop. The various reports presented in the Dashboard help managers to: identify and assess trends; plan, monitor and report on key business activities; manage resources and continuously improve their operations by highlighting areas that may warrant further attention; engage in joint planning discussions with client organizations; and identify options for controlling legal services costs. Guidance material is available to support users in navigating through the various dashboard reports and interpreting information contained therein. In November 2012, an Advisory Committee was established to guide future enhancements to the information presented in the dashboard with a view to expanding the dashboard to include information from other domains (e.g., HR, Finance). - Business process models developed in 2010-2011, outlining activities related to the management and delivery of legal services are available to support managers and business analysts in identifying business requirements and opportunities for process improvements. - The Business Practices Division reports on timekeeping compliance to executive management. Timekeeping information supports planning and forecasting, resource management, cost recovery, trend analysis and reporting on results. Regular timekeeping reports help senior management understand the evolution and scope of Justice's activities over time, measured in effort, as well as the level of quality and completeness of timekeeping information for each direct report. Internal Audit is also finalizing an audit on timekeeping compliance which will identify opportunities for continuous improvement in existing practices and management controls. - Consistent and well-documented business processes, tools and standards are in place to facilitate client engagement, enhance transparency and accountability and help ensure a uniform approach to managing and reporting on the provision of legal services. In 2012-2013, Justice compiled an evergreen list of relevant business processes, tools and standards currently available to support informed decision making by client organizations about their legal services requirements and associated costs, including: guidance material, business standards and related communications developed as part of the Cost Recovery Process Improvement (CRPI) Project; the Budget Management Framework i.e., a formal document that provides context, standards and directions for budget management activities within Justice; a communications strategy and material related to announcements on the legal services rates; Treasury Board (TB) submission protocols (including the Week Ahead Report which lists all client led TB subs); and templates and guidance material related to MOUs for the provision of legal services. The list will be updated as additional processes, tools and standards are introduced in support of continuous improvement. <p>The Department established the Management Sector in August 2007 and assigned responsibility for implementing the changes recommended by the OAG with respect to law practice management to the ADM, Management Sector. In May 2012, with much of the work in relation to the 2007 OAG Audit completed, some of the work done in the Law Practice Management Directorate (LPM) within the Management Sector was realigned with other units in the Department and other Divisions within the Sector. The resultant organization, while smaller, continues to provide essential services in relation to our national law practice. The Management Sector makes recommendations to senior management through the Department's governance structure and continues to work in collaboration with various working groups and advisory committees to advance key initiatives related to the management of the practice of law.</p>	<p>In light of the observations, key findings and recommendations contained in the draft Audit of iCase / timekeeping compliance, IAB cannot support a level 5 assessment.</p>
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AUDIT NAME	Year	REC #	REC PART	Risk Level (L/M/H)	RECOMMENDATION	MANAGEMENT RESPONSE	EXP COMPLETION DATE	Self-Assessment as at March 31, 2013	March 31, 2013 Level of Implementation (1 - 5 or Obsolete)	Mgmt Close Request	Estimated Date of Completion	Evidence Requested	Follow-Up -who -to who -for what	Comments
OAG	2007	5.25 - 2			<u>Managing the Delivery of Legal Services to Government – Department of Justice Canada</u> In addition to its current management of alternative dispute resolution initiatives, Justice Canada should ensure that it clearly defines each initiative's objectives, estimates the potential cost savings and formally reviews the outcome of initiatives against their objectives	The Department agrees with the Auditor General's recommendation, which is consistent with the recent review of the Department's dispute resolution initiative that has resulted in a new mandate focused on providing services to departments supporting long-term prevention and early resolution of disputes. These client-focused services include systems design, legal advisory support, and training, all of which are linked to the departmental priorities of improving practice management and managing the volume of litigation.		At the time of the audit, strategies examined by the OAG related to a DR Fund which had been approved by Treasury Board. The DR Fund is no longer in place. This recommendation is therefore considered obsolete.	Obsolete	Y	Obsolete	n/a	n/a	***We need AMREC and DAC to agree.

AUDIT NAME	Year	REC #	REC PART	Risk Level (L/M/H)	RECOMMENDATION	MANAGEMENT RESPONSE	EXP COMPLETION DATE	Self-Assessment as at March 31, 2013	March 31, 2013 Level of Implementation (1 - 5 or Obsolete)	Mgmt Close Request	Estimated Date of Completion	Evidence Requested	Follow-Up -who -to who -for what	Comments
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High		2
Medium		24
Low		15
		41

As at March 31st, 2013 (July 9th, 2013 DAC)	LSB and BCRO because	External (PSC, OAG.
	41	
Obsolete	1	1
Level 5	16	4
Level 4	14	3
Level 3	9	0
Level 2	0	1
Level 1	1	0
Total	41	9
50 total IA + External (Excludes LSB and BCRO, not included in formula)		

Closed recommendations Fall 2012	17	8
Official Languages	3	
Legislative Services	1	
BCRO	2	
OAG	5	
OCG	2	
PSC	2	

Management Action Plan Follow-Up Summary

History of MAP Follow-Ups at IAB

Summary of MAP Follow-Up for recommendations from 2007 TO 2011

Table 1	Number of Recommendations
Started With / Reviewed	711
No F-Up Required (Obsolete)	497
Sent	214

Summary of March 31, 2012 Follow-Up

Table 2	Number of Recommendations
Started With	214
Closed	130
Obsolete	11
Outstanding	73

Summary of September 28, 2012 Follow-Up

Table 3	Number of Recommendations
Started With	73
Added	10
Total Start	83
Closed	42
Obsolete	3
Outstanding	38

Summary of March 31, 2013 Follow-Up

Table 4	Number of Recommendations
Started With	38
Added	6
Total Start	44
Closed	
Obsolete	
Outstanding	

OL+BCRO+LSB
External

Management Action Plan Follow-Up Summary

S E R V I N G C A N A D I A N S



Management Action Plan (MAP) Follow-Up Exercise Spring 2013

Audit Management Response and Evaluation Committee
June 25, 2013

Departmental Audit Committee
July 9, 2013



Department of Justice
Canada

Ministère de la Justice
Canada

Canada

Management Action Plan (MAP)
Follow-Up Exercise
Spring 2013

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Tab	Audit Name	Audit Date	# of MAPs Outstanding for the Spring 2013 Exercise	# of MAPs to be Closed in Spring 2013 Exercise
1	<u>Integrated Financial and Material Systems (IFMS)</u>	February 2007	1	0
2	<u>Material Management</u>	June 2007	1	0
3	<u>Family Law Assistance Services (Family Orders and Agreements Enforcement Assistance & Central Registry of Divorce Proceedings)</u>	November 2007	6	6
4	<u>Ontario Regional Office (Finance and Administration Directorate)</u>	August 2008	2	0
5	<u>Programs Branch Audit</u>	September 2008	1	1
6	<u>Salary Management System</u>	July 2009	2	1
7	<u>Immigration Law – Regional Offices</u>	November 2009	1	1
8	<u>Budgetary Allocation and Forecasting</u>	July 2010	1	0
9	<u>Cost Recovery Framework</u>	July 2010	2	0
10	<u>PeopleSoft HR Management System</u>	March 2011	5	1
11	<u>LEGAL AGENT ACCOUNT VERIFICATION PROCESS (LAAV)</u>	April 2011	2	0
12	<u>Staffing/Resourcing Function</u>	June 2011	1	0
13	<u>Canada Border Services Agency Legal Services Unit</u>	August 2011	2	1
14	<u>Regional Contracting</u>	August 2011	8	1
15	<u>Tax Law Services Ottawa Section</u>	July 2011	1	0
16	<u>Tax Law Services Prairie Region</u>	July 2011	1	1
17	<u>Acquisition Cards</u>	March 2012	1	0
18	<u>Official Languages</u>	March 2012	3	2
19	<u>Legislative Services</u>	October 2012	1	0
	Total		42	15

Tab	External Audits	Audit Date	# of MAPs Outstanding for the Spring 2013 Exercise	# of MAPs to be Closed in Spring 2013 Exercise
20	<u>OAG</u>	2007	3	3
21	<u>OAG June 2011 Status Update</u>	2011	1	1
22	<u>OCG – Expenditure Control</u>	2009	2	0
23	<u>OCG</u>	2011	1	0
24	<u>PSC</u>	2012	2	0
	Total		9	4

*Note to Rahima: If you update the numbers that are highlighted, you will also need to update the corresponding summary on the title page for that audit.

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Integrated Financial and Material System (IFMS) 2007

TAB 1: Integrated Financial and Material Systems (IFMS)

Summary:

Tab	Audit Name	Audit Date	MAPs Outstanding for the Spring 2013 Exercise	# of MAPs to be Closed in Spring 2013 Exercise
1	Integrated Financial and Material Systems (IFMS)	February 2007	1	0

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Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Integrated Financial and Materiel System (IFMS) 2007

Recommendation # 4 (IA Ref# 2007-207-4)	Risk Ranking: Low
Functional/Technical Support	
It is recommended that the Director General, Finance ensure that the IFMS help desk maintains statistics on the number and types of phone calls received from users.	

Management Response and Action Plan
Agree. Effective immediately, telephone calls received from IFMS users will be documented and tracked in the same manner as e-mail requests for assistance.

Last Update (September 2012)
Further to the March 2012 update, the "Procure-to-Payment at Justice Project" was officially launched in November 2012. Solution Manager will be implemented during the initial phase of the project, including the CHARM and Service Desk tools. CHARM is an integrated SAP change management tool. Service Desk is an integrated SAP tool which tracks Help Desk tickets and support provided to IFMS users. Implementation is slated for March 2013.
LEVEL 3 // Estimated Date of Completion: March 2013

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input checked="" type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
Current Status as at March 31, 2013 (please provide details on progress against the management action plan):	
The timeline for delivery and implementation of Solution Manager has been revised and is now planned for fiscal year 2013-2014. The CFO Branch does not have the in-house resources required to implement Solution Manager. Due to difficulties and delays in obtaining staffing approvals, the decision was made to use contract support. This has delayed the implementation timelines. Solution Manager will include Service Desk, which is an integrated SAP tool which tracks help desk tickets and support provided to IFMS users.	
Estimated Date of Completion:	
March 31, 2014	

CAE Assessment
Although this audit dates back to 2007, the CAE supports the extension of the deadline for implementation to March 2014 in light of the system-wide staffing delays stemming from Budget 2012.

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Materiel Management 2007

TAB 2: Material Management

Summary:

Tab	Audit Name	Audit Date	MAPs Outstanding for the Spring 2013 Exercise	# of MAPs to be Closed in Spring 2013 Exercise
2	Material Management	June 2007	1	0

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Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Materiel Management 2007

Recommendation # 1 (IA Ref# 2007-263-1)	Risk Ranking: Medium
It is recommended that the Director General, Administration ensures that a materiel management policy as well as procedures and guidelines specific to the Department of Justice are developed, implemented, and promulgated.	

Management Response and Action Plan
Agree. Policies, procedures and guidelines will be developed, implemented and promulgated. Actions to be undertaken: <ul style="list-style-type: none"> Extraction and verification of current policies, procedures and guidelines that are currently in place for the Department of Justice. Extraction and verification of Treasury Board policies and guidelines (currently under revision at TBS). Writing and editing of the department's materiel management policies, procedures and guidelines. Consultations with stakeholders, consolidation of comments, distribution and publication on the Intranet of the policies, procedures and guidelines.

Last Update (September 2012)
Further to the March 2012 update, consultation on the draft policy instruments will start in December 2012, with approval targeted for May 2013. The Materiel Management function now reports to the Chief Financial Officer Branch. LEVEL 3 // Estimated Date of Completion: May 2013 Update from March 2012: A draft materiel management policy had been prepared by a Consultant following the audit in 2007; however it was never adopted, implemented or promulgated at that time. This draft policy is being reviewed and updated and will be sent for consultation. The draft policy will be presented for consultation at the Advisory Committee on Contracting, Accommodation and Materiel Management (AC-CAMM) during the summer of 2012. The target date to have policy approved is December 2012. (60% complete)

Commented [DT1]: Added by CFOB to provide context to the September 2012 and March 2013 updates.

Update:
<input type="checkbox"/> Level 1 (No or insignificant progress) <input type="checkbox"/> Level 2 (Planning Stage: plans created & approved) <input checked="" type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement) <input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation) <input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented) <input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

Current Status as at March 31, 2013 (please provide details on progress against the management action plan):
Further to the September 2012 update, the timelines have been extended. Due to difficulties and delays in obtaining staffing approvals, the decision was made to use contract support. This has delayed the implementation timelines. The policy suite will be sent for consultation in the summer 2013 and should be approved by the end of October 2013.
Estimated Date of Completion:
October 31, 2013

CAE Assessment
Although this audit dates back to 2007, the CAE supports the extension of the deadline to October 2013 in light of the organizational changes stemming from Budget 2012.

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schoob	Tel#:	613-948-5117
Also sent to:			

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

**Audit Name: Family Law Assistance Services (Family Orders and Agreements
Enforcement Assistance & Central Registry of Divorce Proceedings) 2007**

**TAB 3: Family Law Assistance Services (Family Orders and Agreements Enforcement
Assistance & Central Registry of Divorce Proceedings)**

Summary:

Tab	Audit Name	Audit Date	MAPs Outstanding for the Spring 2013 Exercise	# of MAPs to be Closed in Spring 2013 Exercise
3	<u>Family Law Assistance Services (Family Orders and Agreements Enforcement Assistance & Central Registry of Divorce Proceedings)</u>	November 2007	6	6

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Coordinator Name:	Don Piragoff	Tel#:	(613) 957-4730
OPI:	Carole Millett	Tel#:	(613) 957-4518 / 613-957-4220
Also sent to:	Daniel Schnob 613-948-5117, Carla Sanipelli 613-941-7343; cc : Elissa Lieff 957-1200		

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

**Audit Name: Family Law Assistance Services (Family Orders and Agreements
Enforcement Assistance & Central Registry of Divorce Proceedings) 2007**

Recommandation # 8a (IA Ref# 2007-120-8-a)	Risk Ranking: Medium
FLAS Management Framework Procedures, Documentation, & Training	
It is recommended that the Director, FLAS ensure that: <ul style="list-style-type: none"> a) Written procedures for the Financial Officer are revised to more clearly describe FOAEA procedures and to include CRDP financial procedures. 	

Management Response and Action Plan
Agree. With the hiring of the financial officer, all financial procedures are 90 % complete and should be completed by May 31, 2008. The CRDP financial functions will be transferred to the financial officer who will be responsible to develop appropriate procedures. The transfer of responsibilities and written procedures should be complete by July 2008.

Last Update (September 2012)
A consultant has been hired and has commenced the work to write the financial procedures for FOAEA. The work will be completed by the end of December, 2012.
For CRDP, the draft financial procedures have been written. They will be finalized by the end of November 2012.
LEVEL 4 // Estimated Date of Completion: Recommendation will be completed by end of December 2012

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress) <input type="checkbox"/> Level 2 (Planning Stage: plans created & approved) <input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation) <input checked="" type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented) <input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
Current Status as at March 31, 2013 (please provide details on progress against the management action plan):	
All financial procedures have now been documented.	
Estimated Date of Completion:	
Completed	

CAE Assessment
The CAE, after consultations with the CFOB, supports that this recommendation be closed as fully implemented.

Coordinator Name:	Don Piragoff	Tel#:	(613) 957-4730
OPI:	Carole Millett	Tel#:	(613) 957-4518 / 613-957-4220
Also sent to:	Daniel Schnob 613-948-5117, Carla Sanipelli 613-941-7343; cc : Elissa Lief 957-1200		

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

**Audit Name: Family Law Assistance Services (Family Orders and Agreements
Enforcement Assistance & Central Registry of Divorce Proceedings) 2007**

Recommendation # 16b (IA Ref# 2007-139-16-a)	Risk Ranking: Medium
Findings – Family Orders and Agreements Enforcement Assistance FOAEA Systems Management	
It is recommended that the Director, FLAS ensure that: b) IT Team procedures with regard to FOAEA system operations are documented.	

Management Response and Action Plan
Agree. Procedures are currently under review and will be complete by July 2008.

Last Update (September 2012)
A technical writer has been hired by the Information Management Branch, funded by the Policy Sector, to complete the work. The work will be completed by the end of this fiscal year.
LEVEL 4 // Estimated Date of Completion: March 31, 2013

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input checked="" type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
Current Status as at March 31, 2013 (please provide details on progress against the management action plan):	
The FOAEA system operations' documentation was completed on March 31, 2013.	
Estimated Date of Completion:	
Completed	

CAE Assessment
Internal Audit Branch received and reviewed the procedures manual and supports that this recommendation be closed as fully implemented.

*Coordinator Name:	Don Piragoff	Tel#:	(613) 957-4730
*OPI:	Carole Millett	Tel#:	(613) 957-4518 / 613-957-4220
*Also sent to:	Daniel Schnob 613-948-5117, Carla Sanipelli 613-941-7343; cc : Elissa Lief 957-1200		

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

**Audit Name: Family Law Assistance Services (Family Orders and Agreements
Enforcement Assistance & Central Registry of Divorce Proceedings) 2007**

Recommendation # 22 (IA Ref# 2007-149-22)	Risk Ranking: Medium
Findings – Central Registry of Divorce Proceedings Interaction between the CRDP Unit and Finance	
It is recommended that the Director, FLAS ensure that:	
<ul style="list-style-type: none"> a) The IFMS and CRDP system data is reconciled on a quarterly basis. b) Variances are explained. c) Adequate records are maintained of the reconciliation actions taken. 	

Management Response and Action Plan
Agree. The responsibility for the CRDP financial control system will be transferred to the financial officer who will ensure that recommended controls are put in place. This transfer of functions should be complete by July 2008 and all controls in place by September 2008.

Last Update (September 2012)
FLAS provides the CFOB with the required information on a quarterly basis and provides explanations for any variances. The CFOB works on the quarterly reconciliation.
LEVEL 4 // Estimated Date of Completion: _____

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input checked="" type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
Current Status as at March 31, 2013 (please provide details on progress against the management action plan):	
FLAS will provide the CFOB with the required information on a quarterly basis starting fiscal year 2013-2014 and provide explanations for any variances. CFOB will provide quarterly reconciliation.	
Estimated Date of Completion:	
Completed	

CAE Assessment
The CAE supports that this recommendation be closed with the caveat that Preliminary Survey of Family Law Assistance Services (FLAS) 2014-15 will confirm that the reconciliation process is meeting the required standards.

Coordinator/Name:	Don Piragoff	Tel#:	(613) 957-4730
COPI:	Carole Millett	Tel#:	(613) 957-4518 / 613-957-4220
Also sent to:	Daniel Schnob 613-948-5117, Carla Sanipelli 613-941-7343; cc : Elissa Lief 957-1200		

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

**Audit Name: Family Law Assistance Services (Family Orders and Agreements
Enforcement Assistance & Central Registry of Divorce Proceedings) 2007**

Recommendation # 23d (IA Ref# 2007-153-23-d)	Risk Ranking: Medium
Findings – Central Registry of Divorce Proceedings CRDP System Management	
It is recommended that the Director, FLAS ensure that: d) System requirements are reviewed to meet appropriate financial controls.	

Management Response and Action Plan
Agree. This matter will be reviewed by the financial officer once the responsibility is transferred. Work should be completed by September 2008.

Last Update (September 2012)
CRDP Financial procedures have been drafted. To be finalized by the end of November. Audit trails in place record changes in fee. Invoices, payments and compensation now recorded in the system. Analysis of other system requirements for financial process ongoing, to be completed in 2013-14. LEVEL 4 // Estimated Date of Completion: 2013-14

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input checked="" type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
Current Status as at March 31, 2013 (please provide details on progress against the management action plan):	
Audit trails implemented in 2012-13 allow capture of any financial input/changes in the CRDP system. Invoicing and compensation records are kept in the system. The Director has ensured that the current system, audit capacity and procedures allow us to meet appropriate financial controls. After review, at this time, no further technical changes to the financial component of the CRDP system are warranted at this time.	
Estimated Date of Completion:	
Completed	

CAE Assessment
The CAE supports that this recommendation be closed with the caveat that Preliminary Survey of Family Law Assistance Services (FLAS) 2014-15 will confirm that system requirements meet appropriate financial controls.

Coordinator Name:	Don Piragoff	Tel#:	(613) 957-4730
OPI:	Carole Millett	Tel#:	(613) 957-4518 / 613-957-4220
Also sent to:	Daniel Schnob 613-948-5117, Carla Sanipelli 613-941-7343; cc : Elissa Lief 957-1200		

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

**Audit Name: Family Law Assistance Services (Family Orders and Agreements
Enforcement Assistance & Central Registry of Divorce Proceedings) 2007**

Recommendation # 26a (IA Ref# 2007-161-26-a)	Risk Ranking: Medium
Findings – Findings – Central Registry of Divorce Proceedings MOUs	
It is recommended that the Director, FLAS ensure that: a) Discussions are undertaken with the provinces to encourage quarterly invoicing and, in the case of Saskatchewan, compliance with the MOU.	

Management Response and Action Plan	Risk Ranking:
Agree. Communication with the provinces will commence in July 2008, and it is anticipated that an agreement with all the provinces will be reached by September 2008.	

Last Update (September 2012)
Discussions have commenced with the PTs to encourage quarterly invoicing and compliance with the MOU in the case of Saskatchewan. Awaiting responses from PTs. See also response to 26(b).
LEVEL 4 // Estimated Date of Completion: March 31, 2013

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input checked="" type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

Current Status as at March 31, 2013 (please provide details on progress against the management action plan):
Discussions have been held with the provinces not currently under the quarterly invoicing regime (Quebec, NB, Yukon, NWT and Nunavut). At this point, none of their financial systems can accommodate such change of process. As of April 1, 2013, fees owed by Saskatchewan are charged on a quarterly basis in accordance with the MOU (full \$10.00 fee).
Estimated Date of Completion:
Completed

CAE Assessment
The CAE supports closing this recommendation. The Preliminary Survey of Family Law Assistance Services (FLAS) 2014-15, will confirm that Saskatchewan is in compliance with the memorandum of understanding.

Coordinator Name:	Don Piragoff	Tel#:	(613) 957-4730
OPR:	Carole Millett	Tel#:	(613) 957-4518 / 613-957-4220
Also sent to:	Daniel Schnob 613-948-5117, Carla Sanipelli 613-941-7343; cc : Elissa Lieff 957-1200		

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

**Audit Name: Family Law Assistance Services (Family Orders and Agreements
Enforcement Assistance & Central Registry of Divorce Proceedings) 2007**

Recommendation # 26b (IA Ref# 2007-162-26-b)	Risk Ranking: Medium
Findings – Findings – Central Registry of Divorce Proceedings	
MOUs	
It is recommended that the Director, FLAS ensure that:	
b) MOUs are updated covering financial responsibilities and process requirements for CRDP fees and compensation.	

Management Response and Action Plan
Agree. This information will be communicated to the FPT working group currently working on the MOU.

Last Update (September 2012)
FPT MOA working group created, to start discussions for revised MOAs at the end of November. Completion date dependent on collaboration of PTs.
LEVEL 4 // Estimated Date of Completion: Dependent on collaboration and approval process within PTs. Negotiation process commenced. Estimated completion date 2014.

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full Implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input checked="" type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

Current Status as at March 31, 2013 (please provide details on progress against the management action plan):
There are two components to this recommendation. One component concerns the commitment by management to work with Provincial and Territorial officials to update the MOU, while the second component involves the processes of federal/provincial/territorial Ministers' approval and sign-off.
The management response is directed to the first component. In this regard, the negotiation process with the Provinces and Territories to update the MOAs to explicitly address financial responsibilities and process requirements for CRDP fees and compensation is well advanced with a clause by clause review of a draft agreement. As of March 31, 2013, the members of the FPT Working Group responsible for the drafting of this MOA, except for one jurisdiction, were in full support and all PT members of the CCSO-Family Justice were kept informed. As part of the negotiations, consideration is being given to a proposal to streamline the invoicing and compensation process in consultation with CFOB. One jurisdiction, however, is unable to commit to the proposed compensation rate (remaining at status quo) without further provincial consultations. It is anticipated that within less than a year a draft agreement will be completed by the Working group. The MOA will then need to be presented in each PT to higher officials' level to make recommendations to and seek approval of the respective P/T Ministers.
With regard to the second component of the recommendation of obtaining Ministerial approval in each jurisdiction, the process is completely outside the departmental management's sphere of control as it may involve political

Coordinator Name:	Don Piragoff	Tel#:	(613) 957-4730
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**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

**Audit Name: Family Law Assistance Services (Family Orders and Agreements
Enforcement Assistance & Central Registry of Divorce Proceedings) 2007**

considerations.
In the interim, financial responsibilities are covered and respected under the current MOA and the discussions undertaken as referred to in response to recommendation 26(a) to improve the payment and compensation process. Follow-up is done regularly to ensure prompt payment of invoices and compensation is issued on a quarterly basis after payment.
Estimated Date of Completion:
N/A

CAE Assessment
The CAE supports the closure of this recommendation in light of the high level of engagement between federal and provincial / territorial officials in developing revised memoranda of understanding. Additionally, the Preliminary Survey of Family Law Assistance Services (FLAS) 2014-15, will examine the updated processes and procedures to determine whether there are any further issues and / or risks that may require management attention.

Coordinator Name:	Don Piragoff	Tel#:	(613) 957-4730
OPI:	Carole Millett	Tel#:	(613) 957-4518 / 613-957-4220
Also sent to:	Daniel Schnob 613-948-5117, Carla Sanipelli 613-941-7343; cc : Elissa Lieff 957-1200		

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Ontario Regional Office (Finance and Administration Directorate) 2008

TAB 4: Ontario Regional Office (Finance and Administration Directorate)

Summary:

Tab	Audit Name	Audit Date	MAPs Outstanding for the Spring 2013 Exercise	# of MAPs to be Closed in Spring 2013 Exercise
4	<u>Ontario Regional Office (Finance and Administration Directorate)</u>	August 2008	2	0

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Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:	cc Lorna Kettles for recommendation #29		

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Ontario Regional Office (Finance and Administration Directorate) 2008

Recommendation # 7 (IA Ref# 2008-109-7)	Risk Ranking: Low
Functional Guidance & Direction	
It is recommended that, in conjunction with the regional offices, the Director General, Finance develop a coherent and measurable set of performance objectives for the finance function capable of providing comparisons between regional offices.	

Management Response and Action Plan
Agree. This will be a collaborative effort involving all regional offices to ensure that, from a strategic perspective, the performance objectives are agreed upon and measured for the finance function. These will form part of a recognized performance measurement framework that will be enhanced on a continuous and collective basis. As part of this effort, the DG, Finance office is currently working on developing a balance scorecard with financial and non-financial indicators, which is expected to be in place by the end of calendar year 2008.

Last Update (September 2012)
The delivery of Financial, Contracting and Materiel Management (internal) services across the Department of Justice was consolidated within the CFO Branch (CFOB) on August 1 st , 2012. This consolidation and related modernization of internal services will enable the CFOB to move forward with delivering a consistent level of service across the Department. The CFOB is identifying best practices across the regional offices and across other government departments with the intent of implementing such practices within Justice. A key component of modernizing the CFOB function within the Department is implementing a new service delivery model for processing transactional payments. (This initiative is currently underway.) Additionally, work is being done to complete the CFOB balanced scorecard. Preliminary objectives, measures, targets and initiatives are currently being fine tuned to ensure alignment with the CFOB vision and strategy and with the financial, customer, internal business process, and learning and growth perspectives.
LEVEL 2 // Estimated Date of Completion: September 30, 2013

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress) <input type="checkbox"/> Level 2 (Planning Stage: plans created & approved) <input checked="" type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation) <input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented) <input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

Current Status as at March 31, 2013 (please provide details on progress against the management action plan):
Further to the consolidation of Financial, Contracting and Materiel Management services across the Department of Justice within the CFOB in August of 2012, significant progress in implementing the related CFOB modernization plan has been achieved. The CFOB has implemented a new service delivery model for processing transactional payments and has finalized an organizational footprint for each of the five regional offices to ensure capacity exists to provide a consistent level of service. Weekly Regional Director of Finance teleconferences facilitate an understanding of each regional office's current practices and client service levels. This understanding enables the CFOB to identify and implement best practices and establish consistent business processes and levels of client service.
In addition, the CFOB conducted a department-wide survey targeted at CFOB customers to gain an understanding of its customer's perception of the current Accounts Payable function and to establish a baseline to further build upon. This information is critical to the success of the new service delivery model.

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:	cc Lorna Kettles for recommendation #29		

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Ontario Regional Office (Finance and Administration Directorate) 2008

The work noted above is foundational to one of the key projects identified in the 2013/14 CFOB Operational Plan: the "Development of a Performance Measurement Framework and Strategy". Key milestones of this project include reviewing and assessing best practices for performance measurement for analogous organizations and communicating with and documenting CFOB staff and customer service standard expectations by September 30th, 2013. The development of service standards for all CFOB functions (includes the Regional CFOB offices as well as the NCR CFOB office) and the development of a "dashboard" to be used as a communication tool for monitoring and reporting on key commitments and initiatives, are targeted for completion by March 31st, 2014. The identification of performance indicators to measure results and provide meaningful feedback and the implementation of a CFOB balanced scorecard are targeted for completion in early 2014/15. The implementation has been delayed due to difficulties and delays in obtaining staffing approvals.

Estimated Date of Completion:

May 31, 2014

CAE Assessment

The CAE supports the extension of deadlines to September 2014 in light of the significant organizational changes stemming from the implementation of Budget 2012.

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:	cc Lorna Kettles for recommendation #29		

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Ontario Regional Office (Finance and Administration Directorate) 2008

Recommendation # 12 (IA Ref# 2008-114-12)	Risk Ranking: Low
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Operational Performance Indicators

It is recommended that the Director General, Finance consider activating SAP features, such as gating, threshold warnings, and volumetric triggers.

Management Response and Action Plan

Agree that performance reporting capabilities can be made available by activating SAP features. A working group for IFMS will be reactivated in the fall 2008 to gather requirements and prioritize functional enhancements to IFMS. Concurrently, the IFMS unit will investigate activating some of the SAP features available as additional reporting tools from which performance statistics can be derived. With respect to gating in SAP, this feature was reviewed by the newly created HQ statistical sampling unit in 2006-07. At present, expenditures continue to be verified 100% prepayment, with statistical sampling also being performed on a post-payment basis on travel and hospitality expenditures. Once the error rate is reduced to an acceptable level for travel and hospitality expenditures, a gating process will be introduced. Other types of expenditures are also being planned for consideration in the statistical sampling process, which, in effect, would require the implementation of gating for these expenditures.

Last Update (September 2012)

Further to the March 2012 update, the Department will be implementing the IFMS Core Solution for statistical sampling for non-salary expenditures. The CFO Branch is exploring software options for statistical sampling for salary transactions. The CFO Branch is also investigating the implementation of the Gating Solution as a prerequisite for statistical sampling.

LEVEL 3 // Estimated Date of Completion: March 31, 2013

Update:

<input type="checkbox"/> Level 1 (No or insignificant progress) <input type="checkbox"/> Level 2 (Planning Stage: plans created & approved) <input checked="" type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation) <input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented) <input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
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Current Status as at March 31, 2013 (please provide details on progress against the management action plan):

As indicated in the September 2012 update, the Department will be implementing the PWGSC IFMS Program Office (IFMS Core) solution for statistical sampling. This implementation will now be included as part of the "Procure to Payment at Justice" project.

Estimated Date of Completion:

September 30, 2014

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:	cc Lorna Kettles for recommendation #29		

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Ontario Regional Office (Finance and Administration Directorate) 2008

CAE Assessment
The CAE supports the extension of deadlines to September 2014 in light of the interdependencies with the centrally driven IFMS Core Solutions project.

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:	cc Lorna Ketles for recommendation #29		

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Programs Branch 2008

TAB 5: Programs Branch Audit

Summary:

Tab	Audit Name	Audit Date	MAPs Outstanding for the Spring 2013 Exercise	# of MAPs to be Closed in Spring 2013 Exercise
5	Programs Branch Audit	September 2008	1	1

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Coordinator Name:		Tel#:	
OPI:	Barbara Merriam	Tel#:	613-957-4344
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Programs Branch 2008

Recommendation # 13 (IA Ref# 2008-147-13)	Risk Ranking: Low
Interest on Overdue Accounts	
It is recommended that the DG, Programs Branch ensure that interest on overdue accounts is charged as required.	

Management Response and Action Plan
Agree. Many of the overdue accounts in question are either for very small amounts or have been assessed as likely to be unrecoverable. In view of the nature of these overdue accounts, Programs Branch, in consultation with the DG, Finance, will review carefully the Interest and Administrative Charges Regulations pursuant to the Financial Administration Act to ensure that interest is charged in all cases where the exceptions provided (small amounts, etc.) do not apply.

Last Update (September 2012)
Subsequent to last update on March 2012, a draft briefing note to the DM to waive interest charges was prepared earlier this fiscal year and circulated for comments. Still pending at the moment.
LEVEL 4 // Estimated Date of Completion: By the end of fiscal year 2012-13.

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress) <input type="checkbox"/> Level 2 (Planning Stage: plans created & approved) <input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation) <input checked="" type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented) <input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
Current Status as at March 31, 2013 (please provide details on progress against the management action plan):	
Interest will be charged with the exception of small amounts or accounts being assessed as likely to be unrecoverable. Subsequent to the update of March 2012, a draft briefing note to the Deputy Minister (DM) to obtain blanket approval to waive interest charges for the above-mentioned exceptions was prepared early in the fiscal year (2012-13) and circulated for comments. As recommended by the Debt-Write Off Committee, further changes were required to the briefing note. The briefing note is still pending at the moment. If approval for blanket authority is not obtained from the DM, the approval for waiving interest on specific accounts will continue to be carried out upon submission of the uncollectible or deemed uncollectible accounts to the Debt-Write Off Committee prior to recommending for approval to the CFO/DM.	
Estimated Date of Completion:	
NA - Completed	

CAE Assessment
After consultations with CFOB, the CAE supports closing this recommendation.

Coordinator Name:		Tel#:	
OPI:	Barbara Merriam	Tel#:	613-957-4344
Also sent to:			

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Salary Management System 2009

TAB 6: Salary Management System

Summary:

Tab	Audit Name	Audit Date	MAPs Outstanding for the Spring 2013 Exercise	# of MAPs to be Closed in Spring 2013 Exercise
6	Salary Management System	July 2009	2	1

[Back to Table of Contents](#)

Coordinator Name:	cc Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Salary Management System 2009

Recommendation # 1ab (IA Ref# 2009-43-1)	Risk Ranking: Low
Responsibilities & Organization	
It is recommended that the Chief Financial Officer ensure that:	
<ul style="list-style-type: none"> a) responsibilities for managing and supporting the SMS and ensuring that the system is used appropriately are defined and documented; b) the Finance Branch increase its monitoring of SMS use by users and of the accuracy of SMS data. 	

Management Response and Action Plan
Agree. The Chief Financial Officer Branch (CFOB), through the SFT project, will better define its leadership role and ensure that roles and responsibilities are well defined and documented for the Finance divisions, business units, and administrators. Monitoring and ongoing support functions associated with the maintenance and quality of data being captured will also be defined and developed. These will be reviewed and addressed as part of the SFT project, which is scheduled for implementation on July 1, 2010.

Last Update (September 2012)
<p>September 2012 Update: Further to the March 2012 update for part (a) of the recommendation, the roles and responsibilities in managing and supporting the Salary Forecasting Tool have been established, however they have yet to be formally approved. The approval will be completed by the end of the fiscal year.</p> <p>LEVEL 4 // Estimated Date of Completion: March 31, 2013</p> <p>March 2012 Update: Current status as of March 31st, 2012 (a) Ongoing. (95% complete) (b) Completed, as per April 2011 Follow-Up Update</p> <p>Description: (a) Defining roles and responsibilities in managing and supporting the Salary Forecasting Tool (SFT) needs to be determined and finalized. The Resource Management Division and Financial Systems section within the CFO Branch will action this last requirement for this recommendation by the end of June 2012.</p>

Commented [DT2]:

We added the March 2012 update here for context and continuity. Part (b) of the recommendation was completed as of April 2011. The update provided below for March 2013 is for part (a) only.

Update:			
<input type="checkbox"/>	Level 1 (No or insignificant progress)	<input type="checkbox"/>	Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/>	Level 2 (Planning Stage: plans created & approved)	<input checked="" type="checkbox"/>	Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/>	Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/>	Obsolete (Department considers the recommendation obsolete or no longer applicable)
Current Status as at March 31, 2013 (please provide details on progress against the management action plan):			
Further to the September 2012 update for part (a) of the recommendation, the roles and responsibilities in managing and supporting the Salary Forecasting Tool have been formally approved.			
Coordinator Name:	cc Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Salary Management System 2009

LEVEL 5 // Date of Completion: March 31, 2013
Estimated Date of Completion:
N/A (Completed)

CAE Assessment
The CAE supports closing this recommendation as both parts (a) and (b) have been fully implemented.

Coordinator Name:	cc Carla Sanipelli	Tel#:	613-941-7343
OPR:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Salary Management System 2009

Recommendation # 16 (IA Ref# 2009-58-16)	Risk Ranking: Medium
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Information Technology Security

It is recommended that the Chief Financial Officer request that the CIO prepare a new TRA and C&A.

Management Response and Action Plan

Agree. A new TRA and C&A will be prepared as part of the implementation of SFT on July 1, 2010.

Last Update (September 2012)

Further to the March 2012 update, the CFO Branch is awaiting confirmation from the Information Management Branch regarding whether Certification and Accreditation needs to be completed.

LEVEL 4 // Estimated Date of Completion: March 31, 2013

Update:

<input type="checkbox"/> Level 1 (No or insignificant progress)	<input checked="" type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

Current Status as at March 31, 2013 (please provide details on progress against the management action plan):

Clarification was received in February 2013 from IMB and the Internal Audit Branch that Certification and Accreditation (C&A) is always required after the TRA is completed. The CFO Branch will follow-up with Information Solutions Branch (former Information Management Branch) by May 31, 2013 regarding what is required and the time line for completing the Certification and Accreditation. The implementation has been delayed due to difficulties and delays in obtaining staffing approvals.

Estimated Date of Completion:

To Be Determined – the date for the completion of the C&A is to be determined based on the CFOB follow-up with ISB (Information Solutions Branch).

CAE Assessment

Although this audit dates back to 2009, the CAE supports the extension of the deadlines in light of system-wide staffing delays following from budget 2012.

Coordinator Name:	cc Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Immigration Law Regional Offices 2009

TAB 7: Immigration Law – Regional Offices

Summary:

Tab	Audit Name	Audit Date	MAPs Outstanding for the Spring 2013 Exercise	# of MAPs to be Closed in Spring 2013 Exercise
7	Immigration Law – Regional Offices	November 2009	1	1

[Back to Table of Contents](#)

Coordinator Name:	Jo-Anne Brisbois	Tel#:	613-957-4220
OPI:	Patrick Vézina	Tel#:	613-957-4670
Also sent to:	Alexandre Larouche 613-941-9256, Daniel Therrien 613-952-4774		

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Immigration Law Regional Offices 2009

Recommendation # 2 (IA Ref# 2009-35-2)	Risk Ranking: Low
Information Systems	
It is recommended that the Director General, Law Practice Management Directorate, and the ADAG, PSDI Portfolio, consider the deployment of GASPARD to client departments (with respect to case law).	

Management Response and Action Plan
<p>LPMD</p> <p>We agree. We will consider whether it would be feasible and appropriate to provide limited and secure access to case law found in GASPARD to officers in CIC and CBSA so as to make a determination on such feasibility before August 30, 2010. If the conclusion is that it would be feasible and appropriate to do so, we will then set a date before which access to case law in GASPARD will be provided to officers in CIC and CBSA. A pilot project currently under way with CIC will provide us with the additional information for our determination.</p> <p>PSDI</p> <p>We agree. The GASPARD team in the QRO have entered into an MOU with CIC on a trial basis since July 2009 (copy attached) and will assess client satisfaction with the product by the end of August 2010. Once we have the results from the pilot project, we will be in a position to make informed decisions regarding the provision of access to clients on a broader basis. Further, with regard to use of pay-per-use legal information services, we agree to prioritize the use of departmental tools.</p>

Last Update (September 2012)
Justipedia was released on February 1st, 2012 and will be fully implemented by the end of 2012-13. Justipedia will replace GASPARD and other KM systems. Pilot projects involving the provision of limited and secure access to case law found in GASPARD to officers in CIC and CBSA will be continued in Justipedia in 2012-13 and are expected to be completed by December 2012. We will then be in a position to consider whether it would be feasible and appropriate to provide limited and secure access to case law found in Justipedia to other departments and agencies.
LEVEL 4 // Estimated Date of Completion: End of 2012-2013

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress) <input type="checkbox"/> Level 2 (Planning Stage: plans created & approved) <input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation) <input checked="" type="checkbox"/> Level 5 (Full Implementation – Structures & processes operating as intended and are fully implemented) <input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
Current Status as at March 31, 2013 (please provide details on progress against the management action plan):	
GASPARD (with respect to case law) was successfully made available to CIC and CBSA on a limited basis. CIC and CBSA access to GASPARD ceased in 2012 when all legal knowledge management systems were replaced by Justipedia, Justice Canada national legal knowledge management portal.	
The Management Sector and PSDI have responded to the specific recommendation contained in the audit report and considers this action completed.	
Estimated Date of Completion:	

CAE Assessment
The CAE supports closure of this recommendation in light of the completion of the departmental roll-out of Justipedia (which replaced GASPARD).

Coordinator Name:	Jo-Anne Brisbois	Tel#:	613-957-4220
OPI:	Patrick Vézina	Tel#:	613-957-4670
Also sent to:	Alexandre Larouche 613-941-9256, Daniel Therrien 613-952-4774		

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Budgetary Allocation 2010

TAB 8: Budgetary Allocation and Forecasting

Summary:

Tab	Audit Name	Audit Date	MAPs Outstanding for the Spring 2013 Exercise	# of MAPs to be Closed in Spring 2013 Exercise
8	Budgetary Allocation and Forecasting	July 2010	1	0

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Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPR:	Daniel Schnob	Tel#:	613-948-5117
Absent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Budgetary Allocation 2010

Recommendation # 3 (IA Ref# 2010-3-3)	Risk Ranking: Low
Financial Management Advisors It is recommended that the CFO: <ul style="list-style-type: none"> a) after consulting with portfolio/sector heads, ensure that the roles and responsibilities of the Financial Management Advisor function are defined; b) seek the support of the Senior Management Board to ensure the successful implementation of the Financial Management Advisor function in portfolios and sectors. 	

Management Response and Action Plan
<p>Agreed. In July 2009, as part of the Deputy Minister's announcement regarding the creation of the Chief Financial Officer Model, it was noted that a key element of the CFO implementation was formalizing the Financial Management Advisory function across the Department. Sufficient time has now elapsed to carry out an assessment of the FMA function from which the feedback will be used as the basis for improving the level of services received and for sharing of best practices. The CFO met with stakeholders (ADMs, ADAGs, Heads of Sectors, Directors of Business Management, and Financial Management Advisors) in the fall of 2009 with a goal of facilitating a common understanding of the role and responsibilities of the FMA. A report will be drafted of the assessment, discussions, and findings in effort to determine next steps and ensure successful implementation. The CFO will provide an update, including report results, of the FMA implementation to the Senior Management Board to ensure the Department's ongoing commitment to this portion of the CFO model, prior to the end of fiscal year 2010-11. Clarity around roles and responsibilities will also be incorporated as part of the CFO's roles and responsibilities project currently being undertaken by the Branch.</p>

Last Update (September 2012)
<p>Part (a) of the recommendation was completed as of the March 2012 update.</p> <p>In regards to part (b) of the recommendation, the implementation of the Financial Management Advisor (FMA) Model is ongoing and is a key priority for the Chief Financial Officer (CFO). Approximately six new FMAs have been hired to augment the FMA model and capacity of the Department.</p> <p>Going forward, the consolidation of Internal Services on August 1st, 2012 will provide the CFO with the opportunity to professionalize the FMA function across the Department through the hiring of additional Financial Officers to support it. The current CFO Branch consolidation project proposed plan requires DM approval, so the augmentation of this function across the Department is expected to occur in 2013.</p> <p>LEVEL 3 // Estimated Date of Completion: December 31, 2013</p>

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input checked="" type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
Current Status as at March 31, 2013 (please provide details on progress against the management action plan):	
<p>Part (a) of the recommendation was completed as of the March 2012 update.</p> <p>In regards to part (b) of the recommendation, CFOB continues to work on developing the FMA model. The model remains a key priority for the Chief Financial Officer, with the goal of transitioning the FMA role to that of a strategic advisor. Further to the September 2012 update, CFOB has worked extensively on its Consolidation Plan; however, the Plan has not yet been approved by the DM. It is the hope of the CFO that the Consolidation Plan will be presented to the DM shortly, and approved and supported by the senior leadership of the Department.</p> <p>It has been challenging to staff FMA positions in the current environment of constraint, and in moving forward it remains unclear if</p>	
Coordinator Name:	Carla Sanipelli
OPR:	Daniel Schnob
Approval:	

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Budgetary Allocation 2010

these constraints will be lifted. The implementation has also been delayed due to difficulties and delays in obtaining staffing approvals. The plan is to augment the FMA structure over the next two to three years with FI 04s that will play the strategic advisor function to ADMs and ADAGs. These senior FMAs will be supported by other FMAs at various levels.

Estimated Date of Completion:

March 31, 2015

CAE Assessment

Although this audit dates back to 2010, the CAE supports the extension of the deadlines in order to seek approval and support for the implementation of the FMA model.

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPR:	Daniel Schnob	Tel#:	613-948-5117
Absent to:			

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Cost Recovery 2010

TAB 9: Cost Recovery Framework

Summary:

Tab	Audit Name	Audit Date	MAPs Outstanding for the Spring 2013 Exercise	# of MAPs to be Closed in Spring 2013 Exercise
9	<u>Cost Recovery Framework</u>	July 2010	2	0

[Back to Table of Contents](#)

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Cost Recovery 2010

Recommendation # 2 (IA Ref# 2010-9-2)	Risk Ranking: High
Integrated Planning It is recommended that the CFO, with the support of the ADM, Management Sector, ensure that an integrated plan is prepared that sets out a strategy for the management of cost recovery.	

Management Response and Action Plan
Agree. The CFOB strategic plan has identified the need for the establishment of a net vote framework that would articulate the Department's management of its net vote authority, including the re-engineering of cost recovery processes. The framework will be a formal document that provides context, standards, and directions, as well as the supporting structure. This document will consist of a set of ideas, conditions, or assumptions that determine how the management of the net vote authority and cost recovery processes will be approached, perceived, and understood by departmental staff. Articulated roles and responsibilities will ensure all requirements are assigned so that established standards may be adhered to. It is anticipated that the net vote framework project will move forward over the next two years (i.e. 2010-11 and 2011-12), and that the development of an integrated plan for the management of cost recovery formalizing the vision will be part of discussions noted under Recommendation 1. In support of such a framework, the plan will focus on gaps and the development of enhancements, which will direct resources to priorities, set a direction with deliverables, establish a timeframe, and ensure objectives are met.

Last Update (September 2012)
Status as of September 28, 2012 = Ongoing (65% complete) Continued progress has been made on the Cost Recovery Process Improvement (CRPI) project, with Phase I completed and completion of Phase II of the project to occur by March 31, 2013. The outcomes of the CRPI project will serve as the foundation for the development of the Net Vote Framework. Building upon the common business practices and standards implemented in conjunction with CRPI, the CFO Branch intends to complete the development of the Net Vote Framework by March 31, 2014. The delay of the Net Vote Framework implementation is attributed to two factors: an extension of the CRPI project timelines and the reallocation of resources in CFOB to maintain other core activities. LEVEL 4 // Estimated Date of Completion: March 31, 2014

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input checked="" type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

Current Status as at March 31, 2013 (please provide details on progress against the management action plan):
Status = Ongoing (70% complete) The outcomes of the Cost Recovery Process Improvement (CRPI) project serve as the foundation for the development of the Net Vote Framework. Continued progress has been made on CRPI since the last update, including the completion of Phase II of the project on March 31 st , 2013. Depending on a 2013-14 departmental reserve funding decision, it is anticipated that CRPI will be prolonged until the Summer of 2013 in order to deliver further enhancements requested by the user community. Building upon the common business practices and standards implemented in conjunction with CRPI, the CFO Branch intends to complete the development of the Net Vote Framework by Summer 2015. The extended delay of the Net Vote Framework implementation is attributed to three factors: a continued extension of the CRPI project timelines (now possibly until Summer 2013), the delays in approvals to staff for positions to work on this project, and the reallocation of resources in the CFO Branch to maintain other core activities. To date, the broad framework and concept for the Net Vote Framework has been shared with the Finance, Timekeeping (iCase

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**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Cost Recovery 2010

Business Practice Division) and Director of Business Management communities. In late April 2013, the broad framework and concept is scheduled to be presented to the Deputy Minister at Management Committee. In May 2013, the project charter and the first draft policy will be shared with the Finance, Timekeeping (iCase Business Practice Division) and Director of Business Management communities.

LEVEL 4 // Estimated Date of Completion: Summer 2015

Estimated Date of Completion:

September 15, 2015

CAE Assessment

Although this audit dates back to 2010, the CAE supports the extension of the deadlines in light of the significant organizational changes stemming from budget 2012, the concomitant delays in staffing and the re-prioritization of the activities and projects.

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
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MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Cost Recovery 2010

Recommendation # 3 (IA Ref# 2010-10-3) **Risk Ranking: Medium**

Human Resources

It is recommended that the CFO ensure that each of the portfolios and the three specialized legal areas at headquarters are appropriately staffed with FMAs.

Management Response and Action Plan

Agree. The financial management advisor function continues to gain support and be strengthened throughout the Department. The CFO has made presentations to each of the Direct Reports to the Deputy Minister within the National Capital Region to discuss the role of the FMAs, and outline their responsibilities and how they are to operate within the Department. Additional FMAs have been hired including the FMA director, remaining positions are being created, and permanent financial resources are being requested from the Department. As of March 31, 2010 there are 8 FMAs within 10 portfolios/sectors and some areas have hired and/or requested more than one FMA. Departmental support is growing and plans are moving forward; however, some challenges may be encountered in regard to competing demands for limited departmental resources, given the current government fiscal restraints. It is intended that within the next two years the FMA function will be fully integrated within the Department's business.

Last Update (September 2012)

Progress continues to be made in staffing plans as referenced in the management response and March 2012 update. At the beginning of the current fiscal year (2012-13), approximately \$1.1M in permanent funding was given to CFO Branch's Portfolio Management in support of the FMA model. As of Sept 28, 2012, Justice had 14 Financial Management Advisors (FMAs) representing 10 out of 12 portfolios/sectors, with some areas having more than one FMA. While support for the FMA model continues to increase across the Department, recruitment has become an issue, as 98% of Justice's Financial Officers are under "affected" status. The FMA model remains a key priority for the CFO and the focus on consolidation of Internal Services will further augment and solidify this role within the CFO Branch.

LEVEL 4 // Estimated Date of Completion: September 30, 2013

Update:

<input type="checkbox"/> Level 1 (No or insignificant progress)	<input checked="" type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

Current Status as at March 31, 2013 (please provide details on progress against the management action plan):

The plans for the FMA portfolio continue to evolve due to the review of internal services, which resulted in a consolidation along functional lines, including Finance. The review also resulted in reductions, which has had a direct impact on our ability to staff various positions, including those within the FMA portfolio. The plans for implementation have also been delayed due to difficulties and delays in obtaining staffing approvals. There is now a shortage of FMAs in four sectors and portfolios. The staff shortage coupled with the consolidation of internal services will result in a re-organization of the FMA structure within CFOB and across the Department.

The review of this structure should be completed shortly. A new organizational structure will be proposed to the CFO and subsequently to the DM, which will continue to ensure that FMAs remain strategic advisors that are client focused.

Estimated Date of Completion:

March 31, 2015

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Cost Recovery 2010

CAE Assessment
Although this audit dates back to 2010, the CAE supports the extension of deadlines in light of the significant organizational changes stemming from Budget 2012.

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
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Also sent to:			

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: PeopleSoft Human Resources Management System 2011

TAB 10: PeopleSoft HR Management System

Summary:

Tab	Audit Name	Audit Date	MAPs Outstanding for the Spring 2013 Exercise	# of MAPs to be Closed in Spring 2013 Exercise
10	PeopleSoft HR Management System	March 2011	5	1

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Coordinator Name:	cc : Jo-Anne Brisebois	Tel#:	613-957-4220
OPI:	Joan Pratt	Tel#:	613-941-1867
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: PeopleSoft Human Resources Management System 2011

Recommendation # 5 (IA Ref# 2011-23-5)	Risk Ranking: Low
System Documentation It is recommended that the DG, HRPDD ensure that the Operations Guide is finalized and provided to users as soon as it is completed.	

Management Response and Action Plan
Agreed. The HR Systems Team recognizes the need to have all processes and procedures that are currently used to effectively maintain the application documented and made known to the ever-increasing user community. The work in relation to the development of the Operations Guide is nearing completion and will be finalized, communicated to all users, and made available through HR and You. Completion date: By March 31, 2012.

Last Update (September 2012)
The PeopleSoft product is undergoing a mandatory technical upgrade. This upgrade will result in changes to the look and feel of the system as well as navigation within the system. Given this upgrade, the HR Systems team agreed that the draft Guide would be revised to reflect the new product once the upgrade is complete. The new version will be released into production on November 19th followed by a four week stabilization period. As such, final revision of the Guide will take place when the system upgrade is complete.
The finalization and communication of this Guide is a priority for the HRMS Team and we are on track to meet the March 31, 2013 deadline.
LEVEL 3 // Estimated Date of Completion: March 31, 2013

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input checked="" type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
Current Status as at March 31, 2013 (please provide details on progress against the management action plan):	
The PeopleSoft mandatory technical upgrade resulted in changes to the look and feel of the system as well as navigation within the system. Given this upgrade, the HR Systems team revised the Operations Guide to reflect the new product following completion of the upgrade, which was released into production on November 19, 2012. This was followed by a four week stabilization period.	
The March 31, 2013 deadline has been met.	
Estimated Date of Completion: March 31, 2013	

CAE Assessment
The CAE supports the closure of the recommendation as fully implemented.

Coordinator Name:	cc : Jo-Anne Brisebois	Tel#:	613-957-4220
OPI:	Joan Pratt	Tel#:	613-941-1867
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: PeopleSoft Human Resources Management System 2011

Recommendation # 7 (IA Ref# 2011-25-7)	Risk Ranking: Medium
Back ups and Business Continuity Planning	
It is recommended that the DG, HRPDD ensure that the criticality of PeopleSoft is assessed through a BIA, and that a BCP is completed for PeopleSoft.	

Management Response and Action Plan
Agreed. HRPDD and the IMB will work in collaboration to ensure that the assessment and plan are completed in conformity with the department's guide to business continuity. Completion date: By March 31, 2013.

Last Update (September 2012)
This activity is on track. As previously indicated the HR Business Continuity Plan (BCP) was used as the basis for the development of a PeopleSoft BCP. The PeopleSoft BCP is nearing completion and is referenced in an addendum that was developed by the IMB of an IT BCP related to Corporate Applications.
LEVEL 2 // Estimated Date of Completion: March 31, 2013

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input checked="" type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
Current Status as at March 31, 2013 (please provide details on progress against the management action plan):	
[REDACTED]	
Estimated Date of Completion: <u>March 31, 2013</u>	

CAE Assessment
The CAE supports the extension of the deadline to [REDACTED]

Coordinator Name:	cc : Jo-Anne Brisebois	Tel#:	613-957-4220
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Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: PeopleSoft Human Resources Management System 2011

Recommendation # 11 (IA Ref# 2011-29-11)	Risk Ranking: Medium
Data Sensitivity & Security	
It is recommended that the DG, HRPDD ensure that a Privacy Impact Assessment and a Threat and Risk Assessment are completed.	

Management Response and Action Plan
Agreed. HRPDD in collaboration with IMB will take the necessary steps to secure the services of experts to undertake a Privacy Impact Assessment and a Threat Risk Assessment in order to ensure compliance with the Treasury Board Management of Information Technology Security (MITS.). Completion date: By March 31, 2013.

Last Update (September 2012)
The Threat Risk Assessment has been completed and contracting arrangements are now being finalized in order to secure contracting assistance for the conduct and development of the Privacy Impact Assessment.
LEVEL 3 // Estimated Date of Completion: March 31, 2013

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input checked="" type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

Current Status as at March 31, 2013 (please provide details on progress against the management action plan):
The TRA has been completed and endorsed by all parties involved.
The March 31, 2013 deadline for the TRA has been met.
The PIA is underway.
Estimated Date of Completion: TRA - March 31, 2013 / PIA Dec. 31, 2013

CAE Assessment
The CAE supports the extension of the deadline in order to complete the PIA.

Coordinator Name:	cc : Jo-Anne Brisebois	Tel#:	613-957-4220
OPI:	Joan Pratt	Tel#:	613-941-1867
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: PeopleSoft Human Resources Management System 2011

Recommendation # 12 (IA Ref# 2011-30-12)	Risk Ranking: Medium
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Data Sensitivity & Security

It is recommended that the DG, HRPDD ensure that the Certification and Accreditation of PeopleSoft is updated.

Management Response and Action Plan

Agreed. HRPDD in collaboration with the IMB will take the necessary steps to ensure that the Certification and Accreditation of PeopleSoft is updated and completed by March 2013.

Last Update (September 2012)

The Information Management Branch in conjunction with the HR Systems Unit are working with IT Security to ensure that this work proceeds and is completed by March 31, 2013.

LEVEL 2 // Estimated Date of Completion: March 31, 2013

Update:

☐

Level 1 (No or insignificant progress)



Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)

☐

Level 2 (Planning Stage: plans created & approved)

☐

Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)

☐

Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)

☐

Obsolete (Department considers the recommendation obsolete or no longer applicable)

Current Status as at March 31, 2013 (please provide details on progress against the management action plan):

HR Systems Unit is working with the Information Solutions Branch to ensure that the *PeopleSoft* accreditation is updated.

Estimated Date of Completion:

October 2013

CAE Assessment

The CAE supports the extension of the deadline to October 2013.

Coordinator Name:	cc : Jo-Anne Brisebois	Tel#:	613-957-4220
OPI:	Joan Pratt	Tel#:	613-941-1867
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: PeopleSoft Human Resources Management System 2011

Recommendation # 13 (IA Ref# 2011-31-13)	Risk Ranking: Medium
Data Sensitivity & Security It is recommended that the DG, HRPDD ensure that the appropriate protection level for all HR data is identified and communicated to staff.	

Management Response and Action Plan
<p>Agreed. The PeopleSoft HRMS is the government-endorsed application for HR Management. The Government of Canada version of the PeopleSoft HRMS is maintained by the Program Centre housed within PWGSC. The Program Centre has identified appropriate security designations for the modules licensed by the Government of Canada. Responsibility for access controls is left to the discretion of each government department utilizing the application taking these security designations into consideration. As referenced above, both the 2006 Threat and Risk Assessment and the 2008 Certification and Accreditation documents designate PeopleSoft data as either Protected A or B. Work to update both of these documents will be undertaken in the short-term and will serve to reconfirm the appropriate levels of protection for the system. As referenced in 8, 9, 10 above, restricted access with a second level approval process is granted for Protected B data.</p> <p>A communication strategy will be put in place to identify and communicate level of protection for all HR data.</p> <p>Completion Date: By March 31, 2012.</p>

Last Update (September 2012)
Please refer to recommendation # 11 (above).
<p>The review of security levels forms part of the Privacy Impact Assessment (PIA).</p> <p>A communications strategy will be developed and implemented upon completion of the PIA.</p>
LEVEL 3 // Estimated Date of Completion: March 31, 2013

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input checked="" type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

Current Status as at March 31, 2013 (please provide details on progress against the management action plan):
Please refer to recommendation #11 above.
<p>The review of security levels forms part of the Privacy Impact Assessment (PIA).</p> <p>A communications strategy will be developed and implemented upon completion of the PIA.</p>
Estimated Date of Completion: December, 2013

CAE Assessment
The CAE supports the extension of the deadline in order to complete the PIA.

Coordinator Name:	cc : Jo-Anne Brisebois	Tel#:	613-957-4220
OPI:	Joan Pratt	Tel#:	613-941-1867
Also sent to:			

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: LEGAL AGENT ACCOUNT VERIFICATION PROCESS (LAAV) 2011

TAB 11: LEGAL AGENT ACCOUNT VERIFICATION PROCESS (LAAV)

Summary:

Tab	Audit Name	Audit Date	MAPs Outstanding for the Spring 2013 Exercise	# of MAPs to be Closed in Spring 2013 Exercise
11	<u>LEGAL AGENT ACCOUNT VERIFICATION PROCESS (LAAV)</u>	April 2011	2	0

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Coordinator Name:	JODI SEGUIN	Tel#:	613-960-1693
OPI:	CAROLINE GUILLEMETTE	Tel#:	613-946-7641
Also sent to:	Daniel Schnob 613-948-5117 cc Carla Sanipelli 613-941-7343		

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: LEGAL AGENT ACCOUNT VERIFICATION PROCESS (LAAV) 2011

Recommendation # 1 (IA Ref# 2011-9-1)	Risk/Ranking: Medium
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Policies, Procedures & Guidelines

It is recommended that the Director, LPMC, in consultation with the Chief Financial Officer, review and update procedures regarding account verification for use by all regional offices.

Management Response and Action Plan

Agreed. The LPMC, in consultation with the Chief Financial Officer Branch (CFOB), will review the account verification (taxation) procedures within this fiscal year (2011-2012). This will include the revision of all existing guidelines, forms, templates, and checklists used in the taxation process. Once the procedures have been finalized, they will form the basis for an operational Directive that will be implemented in all regional offices and legal services units across the Department.

Last Update (September 2012)

Status as of January 24, 2013

The LPMC established and consulted with a national working group consisting of representatives from both regional offices and headquarters' legal services units, which resulted in some amendments to the policy suite. The policy was completed and translated in December 2012. The LPMC is scheduled to present the policy suite to Management Committee on March 14, 2013 for their endorsement and to Executive Committee on March 27, 2013 for approval and formalization.

The action plan is 95% complete.

LEVEL 4 // Estimated Date of Completion: Policy Suite Approval – March 31, 2013 / Full Implementation – June 30, 2013

Update:

<input type="checkbox"/> Level 1 (No or insignificant progress)	<input checked="" type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

Current Status as of March 31, 2013 (please provide details on progress against the management action plan):

Executive Committee approved the full suite of policy instruments on April 10, 2013. LPMC expects to implement the policy suite in all regional offices and legal services units across the Department by June 30, 2013.

The action plan is 98% complete.

Estimated Date of Completion:

Full Implementation – June 30, 2013

CAE Assessment

The CAE supports the management self-assessment at level 4.

Coordinator Name:	JODI SEGUIN	Tel#:	613-960-1693
OPI:	CAROLINE GUILLEMETTE	Tel#:	613-946-7641
Also sent to:	Daniel Schnob 613-948-5117 cc Carla Sanipelli 613-941-7343		

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: LEGAL AGENT ACCOUNT VERIFICATION PROCESS (LAAV) 2011

Recommendation # 3 (IA Ref# 2011-11-3)	Risk Ranking: Low
Rates & Delegation:	
It is recommended that the Director, LPMC ensure that the hourly rate guidelines and the delegated approval authorities are reviewed and modified.	

Management Response and Action Plan
Agreed. With the introduction in recent years of competitive processes for the selection of legal agents, the hourly rate guidelines have become a secondary factor in establishing remuneration as market forces come into play through the proposal process. The guidelines remain relevant in the few cases where the work is assigned to an agent on a sole-source basis or further to a referral to the Minister of Justice.

Last Update (September 2012)
<p>Status as of January 24, 2013</p> <p>The LPMC established and consulted with a national working group consisting of representative from both regional offices and headquarters' legal services units, which resulted in some amendments to the policy suite. The policy was completed and translated in December 2012. The LPMC is scheduled to present the policy suite to Management Committee on March 14, 2013 for their endorsement and to Executive Committee on March 27, 2013 for approval and formalization.</p> <p>Consultations are ongoing with CFOB to determine if amendments are required to the Department's <i>Delegation of Financial Signing Authorities Chart and Supporting Notes</i>.</p> <p>The action plan is 95% complete.</p> <p>LEVEL 4 // Estimated Date of Completion: Policy Suite Approval – March 31, 2013 / Full Implementation – June 30, 2013</p>

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input checked="" type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

Current Status as of March 31, 2013 (please provide details on progress against the management action plan):
<p>Executive Committee approved the full suite of policy instruments on April 10, 2013. LPMC expects to implement the policy suite in all regional offices and legal services units across the Department by June 30, 2013.</p> <p>Consultations with CFOB are complete, which resulted in a number of amendments to the Department's <i>Delegation of Financial Signing Authorities Chart and Supporting Notes</i>. These amendments are subject to Departmental approvals expected in late May 2013.</p> <p>The action plan is 98% complete.</p>
Estimated Date of Completion:
Full Implementation – May 31, 2013

Coordinator Name:	JODI SEGUIN	Tel#:	613-960-1693
OPI:	CAROLINE GUILLEMETTE	Tel#:	613-946-7641
Also sent to:	Daniel Schnob 613-948-5117 cc Carla Sanipelli 613-941-7343		

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: LEGAL AGENT ACCOUNT VERIFICATION PROCESS (LAAV) 2011

CAE Assessment
The CAE supports the management self-assessment at level 4.

Coordinator Name:	JODI SEGUIN	Tel#:	613-960-1693
OPI:	CAROLINE GUILLEMETTE	Tel#:	613-946-7641
Also sent to:	Daniel Schnob 613-948-5117 cc Carla Sanipelli 613-941-7343		

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Staffing/Resourcing Function 2011

TAB 12: Staffing/Resourcing Function

Summary:

Tab	Audit Name	Audit Date	MAPs Outstanding for the Spring 2013 Exercise	# of MAPs to be Closed in Spring 2013 Exercise
12	<u>Staffing/Resourcing Function</u>	June 2011	1	0

[Back to Table of Contents](#)

Coordinator Name:	cc : Jo-Anne Brisbois	Tel#:	613-957-4220
OPI:	Joan Pratt	Tel#:	613-941-1867
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Staffing/Resourcing Function 2011

Recommendation # 4 (IA Ref# 2011-54-4)	Risk Ranking: Medium
Controlling It is recommended that the Director General, HRPDD take the necessary steps to implement the Staffing Monitoring Framework.	

Management Response and Action Plan
Agreed. The new Staffing Monitoring Framework has been endorsed by Senior Management. The new framework outlines ongoing monitoring activities (e.g. area of selection), cyclical activities (e.g. appointment file reviews), directed (e.g. acting appointments over 12 months), as well as thematic (e.g. delegation, priority administration, etc.) monitoring activities as well as the frequency of each. Completion date: Implementation of the approved framework has commenced and the completion of the current monitoring cycle and its associated activities is March 2013.

Last Update (September 2012)
As part of the Monitoring Framework, in October 2012, Corporate Programs initiated an appointment file review exercise. This exercise was identified as a requirement in the departmental action plan to address PSC audit findings. The Report related to this review will be submitted to the Deputy Minister and senior management in February 2013. The Department will have completed a full cycle of staffing monitoring by its target date of March 31, 2013.
LEVEL 4 // Estimated Date of Completion: March 2013

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input checked="" type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
Current Status as at March 31, 2013 (please provide details on progress against the management action plan):	
To fully implement the Staffing Monitoring Framework (SMF), the remaining element was the completion of an internal appointment review exercise by Human Resources and Professional Development Directorate (HRPDD). The internal appointment review exercise was initiated on November 1, 2012 and concluded at the end of February, 2013. The final report regarding the findings of the review was submitted to the attention of the D.G, HRPDD and will be reported to senior management by end of May, 2013.	
Estimated Date of Completion: May 31, 2013	

CAE Assessment
The CAE supports the extension of the deadline.

Coordinator Name:	cc : Jo-Anne Brisbois	Tel#:	613-957-4220
OPI:	Joan Pratt	Tel#:	613-941-1867
Also sent to:			

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Staffing/Resourcing Function 2011

Coordinator Name:	ce : Jo-Anne Brisbois	Tel#:	613-957-4220
OPI:	Joan Pratt	Tel#:	613-941-1867
Also sent to:			

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Canada Border Services Agency Legal Services Unit 2011

TAB 13: Canada Border Services Agency Legal Services Unit

Summary:

Tab	Audit Name	Audit Date	MAPs Outstanding for the Spring 2013 Exercise	# of MAPs to be Closed in Spring 2013 Exercise
13	Canada Border Services Agency Legal Services Unit	August 2011	2	1

[Back to Table of Contents](#)

Coordinator Name:		Tel#:	
OPI:	Leigh Taylor	Tel#:	613-946-2505
Also sent to:	Daniel Therrien 613-952-4774		

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Canada Border Services Agency Legal Services Unit 2011

Recommendation # 4 (IA Ref# 2011-4-4)	Risk Ranking: Low
Controlling	
It is recommended that the Senior General Counsel ensure that the CBSA Legal Services Manual is finalized and distributed to staff.	

Management Response and Action Plan
Agreed. The LSU's Office Procedures Manual will be finalized by March 31, 2012 and distributed to all staff. While there is a solid draft of the manual already prepared which is currently being used by staff, it is expected that there will be significant new procedures and direction developed over the course of the next six to eight months that will need to be documented in the manual.

Last Update (September 2012)
There has been consistent work over the past 6 months to develop new procedures and direction, particularly with respect to issues like file closing procedures. Moreover, the working group responsible for the Manual has met to discuss a way forward. It remains to implement it.
LEVEL 2 // Estimated Date of Completion: March 31, 2013

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input checked="" type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

Current Status as at March 31, 2013 (please provide details on progress against the management action plan):
The working group tasked with this audit recommendation has met and some of the newly developed office procedures have been finalized. There has been some progress made on finalizing the overarching document.
Estimated Date of Completion:
June 30, 2013

CAE Assessment
The CAE supports the extension of the deadline.

Coordinator Name:		Tel#:	
OPI:	Leigh Taylor	Tel#:	613-946-2505
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MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Canada Border Services Agency Legal Services Unit 2011

Recommendation # 5 (IA Ref# 2011-5-5)	Risk Ranking: Low
Human Resources	
It is recommended that the Senior General Counsel ensure that the work objectives for team leaders refer to assigned responsibilities for their corporate priority in order to facilitate the performance appraisal process.	

Management Response and Action Plan
Agreed. As a result of the redesign of the LA classification standard, the team leaders in the LSU are now included in the Law Management (LC) Occupational Group and are required to prepare performance agreements as set out in Appendix B of the Treasury Board's Directive on the Performance Management Program for Executives. The Senior General Counsel will ensure that the team leaders' performance agreements include Key Commitments relating to those that the Senior General Counsel has identified in her performance agreement and that reflect the LSU's corporate management priorities as outlined in its business plan. As a result, each team leader will have objectives that refer to their priority activities as assigned by the Senior General Counsel. This recommendation is currently being implemented: the PSDI Portfolio is in the process of preparing performance agreements for its executives for fiscal 2011-12 and this recommendation will be implemented as those agreements are finalized.

Last Update (September 2012)
On May 23, 2012 the team managers held their annual planning exercise and set the office priorities for fiscal year 2012/13. Each team manager assumed responsibility for a number of these priorities. A record of decision was taken respecting these priorities. As a follow up, on October 21, the Executive Director and Senior General Counsel sent an e-mail to the team managers again setting out the priorities and asking each manager to prepare an action plan to address the priorities assigned to them, identifying the steps to be taken and the deadlines for each step. She will be meeting with each of the team managers over the next 2-3 weeks to evaluate the plans and discuss going forward.
LEVEL 4 // Estimated Date of Completion: December 15, 2012

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input checked="" type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
Current Status as at March 31, 2013 (please provide details on progress against the management action plan):	
Following the May 23, 2012 planning exercise, and the e-mail setting out the corporate objectives for each of the managers, the Executive Director met with each of the managers to discuss their corporate objectives. Each manager produced a work plan for their objectives, and the Executive Director and managers have discussed progress at regular intervals. These objectives are incorporated into individuals PMAs and the managers will be evaluated on their progress on the objectives. We are in the process of scheduling our annual planning exercise for fiscal year 2013/14 (likely to be held in early May), and will again set objectives for each of the managers. The cycle will begin again.	

Coordinator Name:		Tel#:	
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**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Canada Border Services Agency Legal Services Unit 2011

Estimated Date of Completion:
Complete

CAE Assessment
The CAE supports closing this recommendation as fully implemented.

Coordinator Name:		Tel#:	
OPI:	Leigh Taylor	Tel#:	613-946-2505
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**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Regional Contracting 2011

TAB 14: Regional Contracting

Summary:

Tab	Audit Name	Audit Date	MAPs Outstanding for the Spring 2013 Exercise	# of MAPs to be Closed in Spring 2013 Exercise
14	Regional Contracting	August 2011	8	1

[Back to Table of Contents](#)

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Regional Contracting 2011

Recommendation # 1 (IA Ref# 2011-36-1)	Risk Ranking: Medium
Planning	
It is recommended that the Director General, Administration Directorate, in conjunction with the regional directors of Corporate Services, ensure that adequate planning in relation to contracting activities is undertaken at the regional level.	

Management Response and Action Plan
Agreed. The Director General, Administration Directorate will align procurement planning to business and investment planning in the Regions and at Headquarters. Target date September 2012. Given the varied nature of the legal services provided by the Department and its lack of control over schedules to meet court-imposed directions and deadlines, many requirements, such as the litigation services mentioned in the audit, are time-sensitive. The Administration Directorate will award a number of multi-year procurement vehicles to meet recurring requirements such as printing, court reporting, transcription, and process servers. Use of these procurement vehicles will be mandatory for all clients. Target Date February 2012.

Last Update (September 2012)
Several key components of the action plan were previously completed, as outlined in the March 2012 update. An update on the two remaining components is provided below. A Request for Standing Offer (RFSOs) for court reporters/transcription in British Columbia is posted and a standing offer should be issued by March 2013. RFSOs for other provinces with significant volumes of requirements will follow. A draft RFSO for process servers has been prepared and should be posted for Ontario by January 2013. All the standing offers for process servers and for court reporting/transcription should be issued by December 2013. LEVEL 4 // Estimated Date of Completion: December 15, 2013

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input checked="" type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

Current Status as at March 31, 2013 (please provide details on progress against the management action plan):
Most of the key components were previously completed, as outlined in the September 2012 update. Bids have been evaluated for the court reporter / transcription requirements in British Columbia and agreements will be awarded in April 2013. As well, The requests for standing offers (RFSOs) for court reporters/transcription were posted in March for Manitoba, Saskatchewan and Alberta. A RFSO for processes servers in Ontario was also posted. All the standing offers for process servers and for court reporting/transcription should be issued by December 2013. The implementation has been delayed due to difficulties and delays in obtaining staffing approvals.
Estimated Date of Completion:
December 15, 2013

CAE Assessment
The CAE supports the extension of this deadline to December 2013 in light of system-wide staffing delays stemming from Budget 2012.

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
COPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Regional Contracting 2011

Recommendation # 4 (IA Ref# 2011-39-4)	Risk Ranking: Medium
Contracting Activity under \$10,000	
It is recommended that the Director General, Administration Directorate, monitor contracting activity under \$10,000, including the sampling of contract files, to determine the extent of compliance with policies and procedures.	

Management Response and Action Plan
<p>Agreed. The Director General, Administration Directorate, will implement a Compliance and Monitoring Program. The Program will consist of a pre-award review for contracts over a predetermined value or for sensitive files. There will also be a post-contract award compliance review based on a target percentage of contracts within predetermined value ranges – for example, up to five percent of contracts valued between \$1,000 and \$10,000 will be subject to annual review. There will be ad hoc targeted reviews based on commodities as determined by the Director of Contracting and Materiel Management. These activities will support recommendations 4, 5, 6, 8, 10, 11, 12, 13 and 14. The Assistant Deputy Minister of the Management Sector has provided resources to support this activity. Target Date February 2012.</p> <p>The Department will develop training to address the processes, procedures and coding requirements for contracting, which will support recommendations 4, 6, 7, 10, 11, 12, 13, 14 and 15. The Assistant Deputy Minister of the Management Sector has provided resources to support this activity. Target Date December 2012.</p> <p>The Department will also create a series of policy instruments to improve procurement planning and compliance, which will support recommendations 4, 10, 11, 12, 14 and 15. The Assistant Deputy Minister of the Management Sector has provided resources to support this activity. Target Date February 2012.</p>

Last Update (September 2012)
<p>Several key components of the action plan were previously completed, as outlined in the March 2012 update. In regards to the two remaining components, the Monitoring and Compliance Program should be staffed and implemented by March 31, 2013, and a policy suite for contracting was presented and approved at Executive Committee on November 14, 2012 and will be issued by December 2012.</p> <p>LEVEL 4 // Estimated Date of Completion: March 31, 2013</p>

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input checked="" type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
Current Status as at March 31, 2013 (please provide details on progress against the management action plan):	
Further to the September 2012 update, the Monitoring and Compliance Program will be implemented in June 2013 following indeterminate staffing action. The implementation has been delayed due to difficulties and delays in obtaining staffing approvals.	
The Contracting policy suite was approved at Executive Committee in November 2012 and was issued December 14, 2012.	
Estimated Date of Completion:	
June 30, 2013	

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Regional Contracting 2011

CAE Assessment

The CAE supports the extension of the deadline in light of the system-wide staffing delays stemming from Budget 2012.

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
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Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Regional Contracting 2011

Recommendation # 7 (IA Ref# 2011-42-7)	Risk Ranking: Medium
Regional Contracts Review Committee It is recommended that the Director General, Administration Directorate, in conjunction with the regional directors general, ensure that the Regional Contracts Review Committees have clear terms of reference governing the exercise of their stewardship responsibilities with respect to contracting.	

Management Response and Action Plan
Agreed. The Director General, Administration Directorate will standardize roles and responsibilities for all Regional Contracts Review Committees and revise their terms of reference to strengthen oversight. Target Date November 2011. As the authority for all Internal Services in the Region, the regional directors general (RDGs) play a key role and are in fact accountable for the management and service provision of contracting in a region. As such, RDGs are key partners with the Director General, Administration Directorate, in ensuring that contracting practices and supporting financial activities are carried out in compliance with government and departmental policies and procedures. As a longer-term measure to strengthen accountability, the Director General, Administration Directorate, in conjunction with the CFO, will review the delegation of contracting authority within the Department to rationalize where it is required, and establish a process to delegate contracting authority to areas that require it. Changes to delegation of contracting authorities will be sought as required. Target Date December 2012.

Last Update (September 2012)
The Contract Review Committee document (Terms of Reference) has been sent to the Regional Directors General for another round of consultation and should be completed by February 2013. (80% complete) A review of contracting delegation was completed and will be done on an annual basis going forward. It should be noted that the contracting function within the Department has now been centralized within the CFO Branch, which already had responsibility for reviewing, maintaining, and updating the delegation chart.
LEVEL 4 // Estimated Date of Completion: February 2013

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input checked="" type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
Current Status as at March 31, 2013 (please provide details on progress against the management action plan):	
Further to the September 2012 update, the Terms of Reference for the Contract Review Committee were approved by the Regional Directors General in March 2013.	
Estimated Date of Completion:	
N/A (Completed)	

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
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**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Regional Contracting 2011

CAE Assessment
The CAE supports closing this recommendation as fully implemented.

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Regional Contracting 2011

Recommendation # 8 (IA Ref# 2011-43-8)	Risk Ranking: Medium
Reporting & Quality of Information for Management Decision Making	
It is recommended that the Director General, Administration Directorate, ensure that contracting information in IFMS is regularly reviewed for data integrity (complete, accurate, and timely).	

Management Response and Action Plan
Agreed. The Director General, Administration Directorate, will review contracting data in IFMS as part of the Compliance and Monitoring Program. Target Date February 2012. Upon identification of requirements, it may be necessary to modify existing IFMS reports to enable the timely validation process in a sustainable manner (depending on funding). The Administration Directorate will prepare a training module for data integrity. Completed.

Last Update (September 2012)
Further to the March 2012 update, the Monitoring and Compliance Program should be staffed and implemented by March 31, 2013. LEVEL 4 // Estimated Date of Completion: March 31, 2013

Update:
<div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> <input type="checkbox"/> Level 1 (No or insignificant progress) </div> <div style="width: 45%;"> <input checked="" type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation) </div> </div> <div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> <input type="checkbox"/> Level 2 (Planning Stage: plans created & approved) </div> <div style="width: 45%;"> <input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented) </div> </div> <div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> <input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement) </div> <div style="width: 45%;"> <input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable) </div> </div>

Current Status as at March 31, 2013 (please provide details on progress against the management action plan):
Further to the September 2012 update, the Monitoring and Compliance Program will be implemented in June 2013 following indeterminate staffing action. The implementation has been delayed due to difficulties and delays in obtaining staffing approvals.
Estimated Date of Completion:
June 30, 2013

CAE Assessment
The CAE supports the extension of the deadline in light of system-wide staffing delays stemming from Budget 2012.

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Regional Contracting 2011

Recommendation #9 (IA Ref# 2011-44-9)	Risk/Ranking: Medium
Reporting & Quality of Information for Management Decision Making	
It is recommended that the Director General, Administration Directorate, in conjunction with the Chief Financial Officer, ensure that procedures, validation and edit rules are in place to manage contracting data.	

Management Response and Action Plan
Agreed. The Director General, Administration Directorate, will provide contracting procedures and coding requirements training to personnel who use their contracting authority. Phase 1 of the training - Completed June 2011. Target date for phase 2 of training - December 2011. The Compliance and Monitoring Program will monitor contract data on a quarterly or more frequent basis. Target Date February 2012.
Any other changes and enhancements to IFMS will be determined during the 2012-13 timeframe that the CFO Branch, has set to respond to the "Procure 2 Pay" re-engineering project requirements, subject to approval of the project as a priority within the investment planning exercise. Target Date March 2013.

Last Update (September 2012)
Further to the March 2012 CMMD update, the Monitoring and Compliance Program should be staffed and implemented by March 31, 2013.
In regards to the re-engineering project, the "Procure-to-Payment at Justice Project" was officially launched in November 2012 with an objective to have the business blueprint completed as a first phase. The second phase will consist of implementing the new functionality in IFMS and performing the business transformation required. The second phase is planned to be completed by the end of fiscal year 2013-14. To be noted is that this project is an inherent part of the CFO Branch cost-savings initiative.
LEVEL 3 // Estimated Date of Completion: April 2014

Update:	
<input type="checkbox"/> Level 1 (No or Insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full Implementation - Structures & processes operating as intended and are fully implemented)
<input checked="" type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

Current Status as at March 31, 2013 (please provide details on progress against the management action plan):
Further to the September 2012 update, the Monitoring and Compliance Program will be implemented in June 2013 following indeterminate staffing action. The implementation has been delayed due to difficulties and delays in obtaining staffing approvals.
In regards to the "Procure to Payment at Justice Project", Justice is now a pilot department for the PWGSC IFMS Program Office (IFMS Core) procure to payment solution / footprint for all federal government departments using SAP.
Justice will be involved in all the steps of the pilot process, including the building, testing, integration, and roll-out steps. This will facilitate a robust knowledge transfer as the departmental subject matter experts (SMEs) will work collaboratively with the IFMS Program Office throughout the pilot process.
The timeline for the implementation of the procure to payment solution is government wide and is now estimated to be by

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**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Regional Contracting 2011

the end of fiscal year 2014-2015.
Estimated Date of Completion:
March 31, 2015

CAE Assessment
The CAE supports management's self-assessment and the extension of deadlines in light of the interdependencies with the Procure-to-Payment project.

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
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MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Regional Contracting 2011

Recommendation # 10 (IA Ref# 2011-45-10)	Risk Ranking: Medium
Requirements Definition	
It is recommended that the Director General, Administration Directorate, introduce measures that will ensure that work requirements are defined and documented prior to the start of the contracting process.	

Management Response and Action Plan
Agreed. The Director General, Administration Directorate, will develop policy instruments outlining how to adequately define and document work requirements. In addition, training will be provided in this area and communiqués will be issued. This element will also be incorporated into the Compliance and Monitoring Program, in that a sampling of contract files will validate the definition of work requirements. Target Date February 2012.

Last Update (September 2012)
Several key components of the action plan were previously completed, as outlined in the March 2012 update. In regards to the two remaining components, the Monitoring and Compliance Program should be staffed and implemented by March 31, 2013, and a policy suite for contracting is scheduled to be presented at Executive Committee on November 14, 2012 for approval and will be issued by December 2012.
LEVEL 4 // Estimated Date of Completion: March 31, 2013

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input checked="" type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

Current Status as at March 31, 2013 (please provide details on progress against the management action plan):
Further to the September 2012 update, the Monitoring and Compliance Program will be implemented in June 2013 following indeterminate staffing action. The implementation has been delayed due to difficulties and delays in obtaining staffing approvals.
The Contracting policy suite was approved at Executive Committee in November 2012 and was issued December 14, 2012.
Estimated Date of Completion:
June 30, 2013

CAE Assessment
The CAE supports the extension of the deadline in light of system-wide staffing delays stemming from Budget 2012.

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Regional Contracting 2011

Recommendation # 11 (IA Ref# 2011-46-11)	Risk Ranking: High
Procurement	
It is recommended that the Director General, Administration Directorate, introduce measures to enforce compliance with the issues noted above.	

Management Response and Action Plan
<p>Agreed. The Director General, Administration Directorate, will create policy instruments, develop a Compliance and Monitoring Program, and provide training to address compliance issues. The Policy framework for the Compliance and Monitoring Program will contain express provisions on reporting of non-compliance and to enforce compliance with contracting rules on Contract Splitting, Sole Source Contracts and After-the-Fact Contracts. The Compliance and Monitoring Program will consist of an initial review before the contract is awarded for contracts over a predetermined value or for sensitive files, in addition to a post-contract award compliance review based on a target percentage of contracts within predetermined value ranges – for example, up to five percent of contracts valued between \$1,000 and \$10,000 will be subject to annual review. There will be ad hoc targeted reviews based on commodities as determined by the Director of Contracting and Materiel Management. Target Date February 2012.</p> <p>Contracting compliance will be added to the performance agreements of all Direct Reports. Completed.</p> <p>Multi-year procurement vehicles will be developed to meet recurring requirements such as printing, court reporting, transcription and process servers. Target Date February 2012.</p>

Last Update (September 2012)
<p>Further to the March 2012 update, a Request for Standing Offer (RFSOs) for court reporters/transcription in British Columbia is posted and a standing offer should be issued by March 2013. RFSOs for other provinces with significant volume of requirements will follow. A draft RFSO for process servers has been prepared and should be posted for Ontario by January 2013.</p> <p>All the standing offers for process servers, court reporting/transcription should be issued by December 2013.</p> <p>LEVEL 4 // Estimated Date of Completion: December 2013</p>
March 2012 Update:
<p>Contracting training was developed and provided in the regions between September and December 2011. (100% complete)</p> <p>Draft policy instruments, Contracting Policy and Guidelines for Managing Services Contracts are prepared. These two documents will be reviewed and approved. Target for approval is September 2012. (75% complete).</p> <p>The Compliance and Monitoring program was developed and piloted in February and March 2012. A staffing process for a Quality Assurance Officer is complete and staffing appointment is required to implement the program. (80% complete)</p> <p>Target date: October 2012</p> <p>The Contracting and Materiel Management Division has draft solicitation documents for process servers and court reporting and transcription on a regional or provincial basis. These solicitations will be done on a phased basis due to the number of solicitations required and the varying provincial requirements that govern these services. These documents will be finalized and the posting will start in June 2012 with a target date of the fall for the first agreements. All agreements are planned to be in place by December 2013. (50% completed)</p>

Commented [DT3]:
Added this March 2012 update for context during the updating process.

Update:			
<input type="checkbox"/>	Level 1 (No or insignificant progress)	<input checked="" type="checkbox"/>	Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/>	Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/>	Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/>	Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to)	<input type="checkbox"/>	Obsolete (Department considers the recommendation obsolete or no longer applicable)

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Regional Contracting 2011

<input type="checkbox"/>	implement)	<input type="checkbox"/>
Current Status as at March 31, 2013 (please provide details on progress against the management action plan):		
<p>The Contracting policy suite was approved at Executive Committee in November 2012 and was issued December 14, 2012. The Guidelines for Managing Services Contracts are currently in consultation and should be promulgated by June 15, 2013.</p> <p>The Monitoring and Compliance Program will be implemented in June 2013 following indeterminate staffing action. The implementation has been delayed due to difficulties and delays in obtaining staffing approvals.</p> <p>Bids have been evaluated for the court reporter / transcription requirements in British Columbia and agreements will be awarded in April 2013. As well, The requests for standing offers (RFSOs) for court reporters/transcription were posted in March for Manitoba, Saskatchewan and Alberta. A RFSO for processes servers in Ontario was also posted.</p> <p>All the standing offers for process servers and for court reporting/transcription should be issued by December 2013.</p>		
Estimated Date of Completion:		
December 15, 2013		
CAE Assessment		
The CAE supports the extension of the deadline to December 2013.		

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Regional Contracting 2011

Recommendation # 12 (IA Ref# 2011-47-12)	Risk Ranking: Medium
Solicitation Activities	
It is recommended that the Director General, Administration Directorate, establish measures to enforce that contracting files demonstrate that solicitation activities and decisions have been conducted in a transparent manner.	

Management Response and Action Plan
Agreed. The Director General, Administration Directorate, will create policy instruments, develop a Compliance and Monitoring Program, and provide training to ensure that contracting files demonstrate that solicitation activities and decisions have been conducted in a transparent manner. The Compliance and Monitoring Program Framework will contain express provisions on enforcement consequences. Target Date February 2012.

Last Update (September 2012)
Further to the March 2012 update, the Monitoring and Compliance Program should be staffed and implemented by March 31, 2013, and a policy suite for contracting is scheduled at Executive Committee for November 14, 2012 for approval and will be issued by December 2012.
LEVEL 4 // Estimated Date of Completion: March 31, 2013

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress) <input type="checkbox"/> Level 2 (Planning Stage: plans created & approved) <input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input checked="" type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation) <input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented) <input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
Current Status as at March 31, 2013 (please provide details on progress against the management action plan):	
Most of the key components were previously completed, as outlined in the September 2012 update.	
The Monitoring and Compliance Program will be implemented in June 2013 following indeterminate staffing action. The implementation has been delayed due to difficulties and delays in obtaining staffing approvals.	
The Contracting policy suite was approved at Executive Committee in November 2012 and was issued December 14, 2012.	
Estimated Date of Completion:	
June 30, 2013	

CAE Assessment
The CAE supports extending the deadline for this recommendation in light of system-wide staffing delays stemming from Budget 2012.

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Tax Law Services Ottawa 2011

TAB 15: Tax Law Services Ottawa Section

Summary:

Tab	Audit Name	Audit Date	MAPs Outstanding for the Spring 2013 Exercise	# of MAPs to be Closed in Spring 2013 Exercise
15	Tax Law Services Ottawa Section	July 2011	1	0

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Coordinator Name:		Tel#:	
OP:	Jade Boucher	Tel#:	613-957-1375
Also sent to:	Micheline Van-Erum 613-957-4811		

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Tax Law Services Ottawa 2011

Recommendation # 2 (IA Ref# 2011-62-2) **Risk Ranking: Medium**

Human Resource Planning

It is recommended that the Director, TLS – Ottawa Section ensure that a formal TLS succession plan is developed and updated on a regular basis.

Management Response and Action Plan

Agreed. The TLS – Ottawa Section will work in close collaboration with the office of the ADAG, TLS Portfolio to develop and implement a national succession plan. Completion date: In conjunction with the regional offices and the TLS – Ottawa Section, the TLS Portfolio will develop a national succession plan by the end of this fiscal year. This plan will be updated on a regular basis.

Last Update (September 2012)

L'analyse des écarts et la préparation du plan de relève national ont été reportées contenu que le plan d'action du Portefeuille visant à mettre en œuvre les réductions budgétaires n'est pas finalisé.

LEVEL 1 // Estimated Date of Completion: March 31, 2012

Update:

<input checked="checked" type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

Current Status as at March 31, 2013 (please provide details on progress against the management action plan):

The analysis of the gap and the development of a formal TLS succession plan for each office continue to be delayed. The delay is due to TLS budget reductions and commitments under the Economic Action Plan 2012; with full implementation of the Portfolio initiatives expected by March 31, 2015. During this period, the TLS is continuing to review with the CRA client the various levels of services needed, and all TLS Sections will continue to participate in department-wide reductions in the number of its employees. In addition, the Portfolio has delayed developing its national succession plan in order to be aligned with a new departmental initiative to standardize the succession planning process department-wide. In the interim, the Portfolio will discuss any critical gaps at National Tax Board of Directors meetings and continue to take appropriate actions for TLS Sections on a nationally coordinated basis.

Estimated Date of Completion: March 31, 2015

CAE Assessment

The CAE supports extending the deadline in light of the significant changes in the operating environment stemming from Budget 2012.

Coordinator Name:		Tel#:	
OPI:	Jade Boucher	Tel#:	613-957-1375
Also sent to:	Micheline Van-Erum 613-957-4811		

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH
Audit Name: Tax Law Services Prairie Region 2011**

TAB 16: Tax Law Services Prairie Region

Summary:

Tab	Audit Name	Audit Date	MAPs Outstanding for the Spring 2013 Exercise	# of MAPs to be Closed in Spring 2013 Exercise
16	Tax Law Services Prairie Region	July 2011	1	1

[Back to Table of Contents](#)

Coordinator Name:		Tel#:	
OPI:	Rhonda Nahorniak	Tel#:	780-495-4324
Also sent to:	Paul Shenher 780-495-2978		

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Tax Law Services Prairie Region 2011

Recommendation # 3 (IA Ref# 2011-70-3)	Risk Ranking: Low
Administration of Financial Resources	
It is recommended that the Regional Director, TLS – Prairie Region, in conjunction with the Information Management Branch, ensure that administrative assistants are given the capability to view IFMS reports from their workstations.	

Management Response and Action Plan
Agreed. The Director will ensure that administrative assistants are given capability to review IFMS reports from their workstations, along with any necessary training. Completion Date: December 31, 2011.

Last Update (September 2012)
The AS2 in Winnipeg was provided with some training in May in conjunction with the training offered in relation to the Cost Recovery Improvement Project. Both the AS2 and AS1 will be provided with further training in Winnipeg on November 28th.
Due to scheduling conflicts, the training in Edmonton of the AS1 and AS2 had to be rescheduled. Both the AS1 and AS2 will be provided with training on November 27th in Edmonton.
LEVEL 4 // Estimated Date of Completion: November 28, 2012

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input checked="" type="checkbox"/> Level 5 (Full Implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
Current Status as at March 31, 2013 (please provide details on progress against the management action plan):	
The Administrative Assistants have been provided with access to IFMS reports and have received the necessary training.	
Estimated Date of Completion:	
Action Plan item is fully implemented.	

CAE Assessment
The CAE supports that this recommendation be closed as fully implemented.

Coordinator Name:		Tel#:	
OPI:	Rhonda Nahorniak	Tel#:	780-495-4324
Also sent to:	Paul Shenher 780-495-2978		

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Acquisition Cards 2012

TAB 17: Acquisition Cards

Summary:

Tab	Audit Name	Audit Date	MAPs Outstanding for the Spring 2013 Exercise	# of MAPs to be Closed in Spring 2013 Exercise
17	<u>Acquisition Cards</u>	March 2012	1	0

[Back to Table of Contents](#)

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Acquisition Cards 2012

Recommendation # 1 (IA Ref# 2012-1-1)	Risk Ranking: Low
Acquisition Card Payment Discounts	
It is recommended that the CFO implement in IFMS the ability to pay the card provider with a single payment.	

Management Response and Action Plan
Agreed. This functionality, which is part of the Federal Government's SAP footprint, is scheduled to be implemented as a part of the Procure-to-Pay re-engineering project. This project is pending approval from the Department's Executive Committee. The project is planned to be done in two phases. The first phase will consist of producing the business blueprint. The second phase will consist of implementing the new functionality in the Integrated Financial and Materiel System (IFMS) and performing the business transformation required. The second phase is planned to be completed by the end of fiscal year 2013-14.

Last Update (September 2012)
This functionality, which is part of the Federal Government's SAP footprint, continues to be scheduled for implementation as a part of the Procure-to-Payment re-engineering project. The " <u>Procure-to-Payment at Justice Project</u> " was officially launched in November 2012 with an objective to have the business blueprint completed as a first phase. The second phase will consist of implementing the new functionality in IFMS and performing the business transformation required. The second phase is planned to be completed by the end of fiscal year 2013-14. To be noted is that this project is an inherent part of the CFO Branch cost-savings initiative. LEVEL 2 // Estimated Date of Completion: April 2014

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress) <input type="checkbox"/> Level 2 (Planning Stage: plans created & approved) <input checked="" type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation) <input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented) <input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
Current Status as at March 31, 2013 (please provide details on progress against the management action plan):	
Justice is now a pilot department for the PWGSC IFMS Program Office (IFMS Core) procure to payment solution / footprint for all federal government departments using SAP.	
Justice will be involved in all the steps of the pilot process, including the building, testing, integration, and roll-out steps. This will facilitate a robust knowledge transfer as the departmental subject matter experts (SMEs) will work collaboratively with the IFMS Program Office throughout the pilot process.	
The timeline for the implementation of the procure to payment solution is government wide and is now estimated to be by the end of fiscal year 2014-2015.	
Estimated Date of Completion:	
March 31, 2015	

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPT:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Acquisition Cards 2012

CAE Assessment
The CAE supports extending the deadline for this recommendation in light of the interdependencies with the Procure-to-Payment project.

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OP:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Official Languages 2012

TAB 18: Official Languages

Summary:

Tab	Audit Name	Audit Date	MAPs Outstanding for the Spring 2013 Exercise	# of MAPs to be Closed in Spring 2013 Exercise
18	Official Languages	March 2012	3	2

[Back to Table of Contents](#)

Coordinator Name:	Jo-Anne Brisebois	Tel#:	(613) 957-4220
OPI:	Joan Pratt	Tel#:	(613) 941-1867
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Official Languages 2012

Recommendation # 1	Risk Ranking: Medium
Roles, Responsibilities and Accountabilities It is recommended that the Director General, Human Resources and Professional Development Directorate undertake additional efforts to communicate the distinctive official languages-related roles, responsibilities and accountabilities of the Corporate Staffing, Official Languages and Recognition Unit in relation to those of the other areas within the Department (i.e. the Office of La Francophonie, Justice in Official Languages and Legal Dualism; and the Official Languages Law Section.)	

Management Response and Action Plan Agreed. The Director General, Human Resources and Professional Development Directorate (HRPDD) agrees to: <ul style="list-style-type: none"> Offer new employee NCR orientation sessions, which include an OL component to highlight and clarify the roles and responsibilities of the various units Make further updates to OL site on HR and You ensuring that roles and responsibilities are clearly defined Work in collaboration with the other units to ensure that their websites provide a link to the OL site contained within HR and You (i.e. cross referencing with the sites from the Office of La Francophonie, Justice in OL and Legal Dualism and the OL Law Section) and that their sites reflect the roles as outlined in the new OL Framework Develop and disseminate a communiqué to all delegated managers detailing the roles with in the new OL Framework Raise awareness through ad hoc attendance at Portfolio/Branch/Sector management team meetings Ensure that OL Champions Network clarify roles within their respective organizations.
--

Last Update (September 2012) n/a (Update start 6 months after Report is finalized.)

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress) <input type="checkbox"/> Level 2 (Planning Stage: plans created & approved) <input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation) <input checked="" type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented) <input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

Current Status as at March 31, 2013 (please provide details on progress against the management action plan): All the proposed actions have been implemented as described and within the allocated timeframes detailed in the Management Response table (see attached). Changes to the OL portion of the Department's Intranet site were made in the summer of 2012 to clarify roles and responsibilities. Further updates were made in November, 2012 to align departmental policies with revised TBS policies. These were communicated in JustInfo in March of this year. Awareness continues to be raised through attendance at management team meetings on an ad hoc basis and other methods, e.g. an email sent on June 22, 2012 on official languages requesting that managers in the Management Sector allocate time at an upcoming team meeting to review with their employees a deck on official languages.
Estimated Date of Completion: N/A

Coordinator Name:	Jo-Anne Brisebois	Tel#:	(613) 957-4220
OPI:	Joan Pratt	Tel#:	(613) 941-1867
Also sent to:			

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Official Languages 2012

n/a

CAE Assessment
The CAE supports that this recommendation be closed as fully implemented.

Coordinator Name:	Jo-Anne Brisebois	Tel#:	(613) 957-4220
OPI:	Joan Pratt	Tel#:	(613) 941-1867
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Official Languages 2012

Recommendation # 2	Risk Ranking: Low
Mechanism to Share Issues Internally It is recommended that the Director General, Human Resources and Professional Development Directorate formalize and communicate an internal process to ensure that issues (e.g. number of complaints, trends) arising from complaints received through the Office of the Commissioner of Official Languages, are brought to the attention of the Network of Sectoral and Regional Official Languages Champions.	

Management Response and Action Plan Agreed. The Director General, Human Resources and Professional Development Directorate agrees that there is a need to ensure that official languages issues are effectively addressed internally and that there is a scope for reporting to the OL Sectoral Champions Network globally on issues relating to official languages given the role these champions play in raising awareness of OL in the workplace. The Director General, Human Resources and Professional Development Directorate will accordingly formalize and communicate internal processes to ensure that aggregate information about official languages-related matters, are brought to the attention of the OL Sectoral Champions. Since the conduct of the audit, a new OL Steering Committee has been put in place and serves as a forum to discuss OL issues and trends.

Last Update (September 2012)
n/a

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress) <input type="checkbox"/> Level 2 (Planning Stage: plans created & approved) <input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation) <input checked="" type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented) <input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
Current Status as at March 31, 2013 (please provide details on progress against the management action plan): Since the audit, the Senior OL Advisor has established and maintains a direct link with the new OL Champion and also with the new Co-Champion who chairs the OL Sectoral Champions Network. At the April 10 th meeting the group discussed the committee's mandate as well as the possible creation of a departmental OL Web Portal which would combine, into one site, the revamped Corporate OL Intranet site as well as the sites from the Office of La Francophonie, Justice in OL and Legal Dualism and the OL Law Section. The creation of the Portal may be delayed because of a review and update to the Intranet structure as a whole. Regardless, work on the Portal will continue and structural revisions made as needed.	
Estimated Date of Completion: N/A	

CAE Assessment
The CAE supports closing this recommendation as fully implemented.

Coordinator/Name:	Jo-Anne Brisebois	Tel#:	(613) 957-4220
OPI:	Joan Pratt	Tel#:	(613) 941-1867
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Official Languages 2012

Recommendation # 3	Risk Ranking: Low
Resources It is recommended that the Director General, Human Resources and Professional Development Directorate formally review the current organizational structure of the Corporate Staffing, Official Languages and Recognition Unit in light of current requirements and expected level of service to ensure that resources have been allocated appropriately.	

Management Response and Action Plan Agreed. The Director General, Human Resources and Professional Development Directorate will review the current organizational structure of the OL unit to ensure that it is adequately resourced and that expected levels of service can be met. Some changes have already been made. The work description for the OL Advisor has been reviewed and is now classified at the AS-5 level rather than PE. This has allowed the Department to have access to a much broader pool of candidates given that the majority of OL coordinators in government are classified in the AS Group. In addition, 50% of another resource is now dedicated to providing support to the OL Advisor and 50% of the Manager position. Further consideration will be given in the context of changes to internal services as appropriate.

Last Update (September 2012) n/a
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Update: <div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> <input type="checkbox"/> Level 1 (No or insignificant progress) <input type="checkbox"/> Level 2 (Planning Stage: plans created & approved) <input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement) </div> <div style="width: 45%;"> <input checked="" type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation) <input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented) <input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable) </div> </div>	
Current Status as at March 31, 2013 (please provide details on progress against the management action plan): Classification of the Senior OL Advisor position to an AS-05 group and level, as referenced above, lead to the appointment of a seasoned OL Advisor. This has led to the effective management of the parts of the OL Program that fall under the HR Directorate's responsibility. Changes to internal services and other factors have made the dedication of resources to support the OL Advisor a challenge.	
Estimated Date of Completion: September, 2013	

CAE Assessment The CAE supports the extension of the deadline for this recommendation to September 2013 in light of system-wide staffing delays stemming from the Budget 2012.
--

Coordinator Name:	Jo-Anne Brisebois	Tel#:	(613) 957-4220
OPI:	Joan Pratt	Tel#:	(613) 941-1867
Also sent to:			

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Legislative Services 2012

TAB 19: Legislative Services

Summary:

Tab	Audit Name	Audit Date	MAPs Outstanding for the Spring 2013 Exercise	# of MAPs to be Closed in Spring 2013 Exercise
19	<u>Legislative Services</u>	October 2012	1	0

[Back to Table of Contents](#)

Coordinator Name:	Ralph Mercedat	Tel#:	(613) 957-0014
OPI:	Philippe Hallée	Tel#:	(613) 941-4178
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Legislative Services 2012

Recommendation # 1	Risk Ranking: Low
Resource Utilization	
It is recommended that the Chief Legislative Counsel, Legislative Services Branch (LSB) introduce a formalized process for resource planning and monitoring on a project basis.	

Management Response and Action Plan
Agreed. The Chief Legislative Counsel, LSB will review and analyze past complex legislative projects in order to integrate and develop project management principles that are sensitive to the operational demands of the Branch. The Chief Legislative Counsel, LSB will then introduce a more formalized process for allocating and monitoring resources that reflects the particular context of the Branch. Targeted Completion Date: March 31st, 2013.

Last Update (September 2012)
n/a

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input checked="" type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

Current Status as at March 31, 2013 (please provide details on progress against the management action plan):
We have hired a consulting firm to review and analyze past legislative files. The consulting firm conducted interviews of all the key personnel involved in the drafting process to understand the current practices in legislative projects. They found that LSB is only one player in a broader legislative development process, and that external issues have a major influence on the ability of LSB to deliver on project objectives. Based on these interviews and the examination of our existing practices, they developed principles for project management, tailored for legislative projects. Although they recognized that many of these principles were already practiced at LSB, they felt that there were opportunities for standardizing and improving our project management tools.
The consulting firm provided a detailed description of the characteristics of the project management tools that LSB could implement within legislative projects. In the upcoming months, LSB will continue to work with the consulting firm to improve our existing project management tools and create new ones. Once the tools have been fully developed, we will run pilot projects to test them. At the conclusion of the pilot period, we will review and assess them, and then seek to apply them more broadly.
Estimated Date of Completion:
March 31, 2014

Coordinator Name:	Ralph Mercedat	Tel#:	(613) 957-0014
OPI:	Philippe Hallée	Tel#:	(613) 941-4178
Also sent to:			

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Legislative Services 2012

CAE Assessment

The CAE supports management's self-assessment, noting that the auditee requested to participate in the MAP follow-up process even though it had only been five months since the audit was completed.

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**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: REPORT OF THE AUDITOR GENERAL OF CANADA 2007

TAB 20: OAG

Summary:

Tab	Audit Name	Audit Date	MAPs Outstanding for the Spring 2013 Exercise	# of MAPs to be Closed in Spring 2013 Exercise
20	OAG	2007	3	8

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Coordinator Name:	Jo-Anne Brisebois	Tel#:	(613) 957-4220
OPI:	Patrick Vézina / C. Quinn (5.93)	Tel#:	(613) 957-4670
Also sent to:	Jodi Bromley (5.93)		

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: REPORT OF THE AUDITOR GENERAL OF CANADA 2007

OAG Audit Recommendation # 5.25 - 2	Risk Ranking:
Report 2007-05 - Chapter 5	

Managing the Delivery of Legal Services to Government – Department of Justice Canada

In addition to its current management of alternative dispute resolution initiatives, Justice Canada should ensure that it clearly defines each initiative's objectives, estimates the potential cost savings and formally reviews the outcome of initiatives against their objectives

Management Response and Action Plan

The Department agrees with the Auditor General's recommendation, which is consistent with the recent review of the Department's dispute resolution initiative that has resulted in a new mandate focused on providing services to departments supporting long-term prevention and early resolution of disputes. These client-focused services include systems design, legal advisory support, and training, all of which are linked to the departmental priorities of improving practice management and managing the volume of litigation.

Last Update (June 2012)

2. Development of Performance Measurement Tools for Dispute Resolution Initiatives

In 2011-2012, the Department of Justice continued to advance its multi-year project aimed at developing performance measurement tools for DR initiatives.

A draft Performance Measurement Framework (PMF) was developed in June 2011. The PMF contains a number of elements aimed at ensuring that Justice has systems in place for regular reporting on DR, ongoing and methodologically sound analysis of the value of DR, and information to support operational decision-making on DR in the management of the litigation inventory. In addition, the framework aims to ensure that client departments will have support and advice from Justice in the use of performance measurement in their own DR programs and initiatives.

The following key elements of the PMF were developed in fiscal year 2011-2012:

- A preliminary methodology for quantifying and understanding the impact of various DR mechanisms;
- Tools to capture the impact of training and knowledge transfer; and
- A draft Guide to Performance Measurement in DR initiatives. (The Guide will be finalized and launched in 2012-2013.)

Several different initiatives are underway to support the development of a DPR performance management regime.

At the request of AMREC, timelines and deliverables were re-examined with the objective of accelerating the work to respond to the Auditor General's specific recommendation. A new work plan is being developed for approval by the end of July. Consideration on future priorities will be re-examined in the context of the Economic Action Plan 2012.

Assessment Level: Level 3 - Preparations for implementation

Update:

<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full Implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input checked="" type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

Current Status as at March 31, 2013 (please provide details on progress against the management action plan):

At the time of the audit, strategies examined by the OAG related to a DR Fund which had been approved by Treasury Board. The DR Fund is no longer in place. This recommendation is therefore considered obsolete.

Coordinator Name:	Jo-Anne Brisebois	Tel#:	(613) 957-4220
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**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: REPORT OF THE AUDITOR GENERAL OF CANADA 2007

Estimated Date of Completion:

CAE Assessment
In order to support the assessment that the recommendation is obsolete, the following information / clarification is required: the date at which the Dispute Resolution Fund expired; a management statement that the Department is no longer undertaking DR initiatives; and, a management statement clarifying that dispute resolution is considered and discussed with clients on all litigation matters where DR is a potential option for resolution of the matter.

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MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: REPORT OF THE AUDITOR GENERAL OF CANADA 2007

OAG Audit Recommendation # 5.62 - 1 Report 2007-05 – Chapter 5	Risk Ranking:
Managing the Delivery of Legal Services to Government – Department of Justice Canada Justice Canada should develop a quality management system or systems for each of its practices to provide senior management with ongoing and reliable assurance that all services meet established minimum quality standard.	

Management Response and Action Plan The Department agrees with the Auditor General's recommendation and will build on the elements of its quality work recognized by the Office of the Auditor General with a view to having a sound quality management approach.

Last Update (June 2012) 1. Quality Assurance Framework (QAF) The Department's QAF initiative encompasses three parts, each composed of unique underlying pillars: <ul style="list-style-type: none"> • Part 1 provides contextual information (e.g., the types of legal services delivered, and the Department's service delivery structure and roles and responsibilities) and a definition of "quality" legal services and related quality service standards; • Part 2 provides a detailed inventory of quality assurance tools and processes currently in place across the Department to meet the quality service standards; and • Part 3 will identify quality assurance indicators and will establish an appropriate governance strategy (including functional authority, reporting and continuous improvement), communications plan and implementation plan. <p>Revisions to the QAF were made pursuant to a comprehensive research paper prepared in 2011 that provided globally accepted definitions and practices from the International Organization for Standards (ISO) and precedents from international, federal, provincial and other government institutions, non-government organizations and legal services providers. Findings from this research paper and further feedback from members of the Justice Quality Assurance Working Group and other internal stakeholders were reflected in revisions to the format and content of Parts 1 and 2 of the QAF and informed work underway on Part 3. (The Working Group has had six meetings so far.)</p> <p>Recommendations regarding the underlying pillars of the QAF will be considered by senior management in summer 2012. The complete QAF is expected to be presented to senior management by the end of 2012. Roll-out of the QAF is expected to commence in early 2013.</p> Assessment 2102: Level 3 - Preparations for implementation
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Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress) <input type="checkbox"/> Level 2 (Planning Stage: plans created & approved) <input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation) <input checked="" type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented) <input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
Current Status as at March 31, 2013 (please provide details on progress against the management action plan): QAF was fully endorsed by Management Committee on March 7, 2013 and by Executive Committee on March 27, 2013. A QAF is now in place at Justice for the provision of high quality legal services to the Government. The Management Sector considers this recommendation completed.	

Coordinator Name:	Jo-Anne Brisebois	Tel#:	(613) 957-4220
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**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: REPORT OF THE AUDITOR GENERAL OF CANADA 2007

Estimated Date of Completion:

CAE Assessment

In order to support a level 5 assessment, evidence is required to demonstrate that the Quality Assurance Framework is able to provide senior management with ongoing and reliable assurance that all services meet minimum quality standards.

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MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: REPORT OF THE AUDITOR GENERAL OF CANADA 2007

OAG Audit Recommendation # 5.62 - 2 Report 2007-05 – Chapter 5	Risk Ranking:
Managing the Delivery of Legal Services to Government – Department of Justice Canada Justice Canada should develop a quality management system or systems for each of its practices to provide senior management with ongoing and reliable assurance that all services meet established minimum quality standard.	

Management Response and Action Plan
The Department agrees with the Auditor General's recommendation and will build on the elements of its quality work recognized by the Office of the Auditor General with a view to having a sound quality management approach.

Last Update (June 2012)
2. Legal Risk Management (LRM) The main goal of the LRM Renewal initiative is to improve Legal Risk Management (LRM) through a harmonized application of the LRM system across all Justice sectors of activity (i.e., litigation, advisory and legislative) by providing standardized LRM tools, communications and practices that support counsel and clients. The Department completed Phase I of the LRM Renewal initiative. Based on the results of extensive national consultations and pilot projects, recommendations in support of an improved and comprehensive LRM process, including the introduction of a new LRM Grid and Impact Table were presented to and approved by senior management on March 7, 2012. Work in the context of Phase II of the LRM Renewal initiative started in May 2012 and essentially focuses on the elaboration of reference documents pertaining to communication of legal risks and on LRM roles and responsibilities, as well as on the elaboration of a new governance framework for LRM. Recommendations flowing from Phase II will be presented to senior management in October 2012. The launch of the new revamped LRM Framework will commence in December 2012 and its implementation will take place from January to March 2012. Assessment Level: Level 4 - Substantial Implementation

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress) <input type="checkbox"/> Level 2 (Planning Stage: plans created & approved) <input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation) <input checked="" type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented) <input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
Current Status as at March 31, 2013 (please provide details on progress against the management action plan): Roll-out of LRM Renewal is now under way, including national training of counsel and paralegals. This activity is consequently considered completed for the purposes of this audit.	
Estimated Date of Completion:	

CAE Assessment In order to support a level 5 assessment, evidence is required to demonstrate that the LRM Renewal initiatives provide senior management with ongoing and reliable assurance that all services meet established minimum quality standards.

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MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: REPORT OF THE AUDITOR GENERAL OF CANADA 2007

OAG Audit Recommendation # 5.93	Risk Ranking:
Report 2007-05 – Chapter 5	
Managing the Delivery of Legal Services to Government – Department of Justice Canada	
Justice Canada should make improvements to its resource management. The Department should:	
<ul style="list-style-type: none"> - use management information on workload volumes and costs for all of its legal services to better monitor trends, plan, set priorities, manage resources, analyze service delivery options, and identify opportunities for controlling costs; - work with client departments to effectively plan, manage, and improve the cost-effectiveness of their financial arrangements with a view to managing demand for legal services and thereby reducing costs; and - ensure that a senior manager with the necessary authority leads the improvement of management practices at the Department and oversees implementation of these changes. 	

Management Response and Action Plan
<p>The Department agrees with the Auditor General's recommendation. The Department of Justice Canada will continue the work underway to develop approaches to further develop its capacity to use management information to enhance management decisions, and regularize its cost recovery agreements with government departments.</p> <p>The Department is currently working on putting in place an initiative to better coordinate and integrates its law management practices. The Department will, at the same time, review its management practices to identify and put in place corporate reports to provide management information to support departmental decision making. Senior management authority to lead our work on management practices will be strengthened.</p>

Last Update (June 2012)
<p>Justice's legal case management application (iCase) and Echo (a companion reporting tool that complements the reporting capabilities of iCase) continue to be used to support corporate reporting needs and to assist Justice managers and client departments in effectively planning, setting priorities, managing resources and managing the demand for legal services. A variety of initiatives have been piloted using Echo to generate standard information on the volume of files, workload effort (hours), and levels of legal risk and complexity, and to respond to specific management information requirements. Documentation on the use of Echo has been developed.</p> <p>The results of the Echo pilots were used to design legal services management dashboards. These dashboards provide case management information to support the planning and management of resources and management of the demand for legal services. The dashboards were well received by senior management. Documentation on the use of the dashboards is being developed and preparations for deployment are underway.</p> <p>As part of a series of changes being introduced to improve cost recovery practices, the Department implemented a more standard approach to the development of cost recovery forecasts for individual client organizations. To support these efforts, Echo was used to generate historical information on level of effort and file inventory data for client organizations. This information supports planning and forecasting for the provision of legal services and is now available directly through the legal services management dashboards.</p> <p>Justice also implemented an improved interface that defines and provides easy access to the suite of iCase reports available to support the management of legal services.</p> <p>Justice is also participating in an initiative led by the Chief Information Officer Branch of the Treasury Board Secretariat aimed at selecting case management software to support the business requirements of departments and agencies across the Government of Canada.</p> <p>Business process models (BPMs) outlining activities related to the management and delivery of legal services continue to be used to support managers and iCase users in identifying business requirements and managing resources.</p> <p>In order to better integrate managers across the Department in the decision-making and information-sharing processes, Justice introduced changes that streamlined its overall governance structure. The former Law Practice Management Committee and other departmental committees that dealt with management and financial issues have now been consolidated into one entity. The Law Practice Management Directorate within the Management Sector now makes recommendations to senior management through the Department's new governance structure and continues to work in collaboration with various working groups and advisory committees to advance key initiatives related to the management of the practice of law.</p>
Assessment Level: Level 4 – Substantial Implementation

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MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: REPORT OF THE AUDITOR GENERAL OF CANADA 2007

Current Status as at March 31, 2013:

<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input checked="" type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

Since the 2007 OAG Audit on Managing the Delivery of Legal Services to Government, Justice Canada has notably improved its resource management practices.

- An enhanced suite of tools, processes and standards are enabling the Department to:
 - use management information on workload volumes and costs to better monitor trends, plan, set priorities, manage resources, analyze service delivery options and identify opportunities for controlling legal services costs; and
 - work with client organizations to effectively plan, manage, and improve the cost effectiveness of legal services.
- In 2009-2010, Justice introduced standard templates for Memoranda of Understanding (MOU) with client organizations for the provision of legal services. MOUs support transparent and accountable resource management and enable departments and agencies to effectively plan, monitor and manage their demand for legal services. In August 2012, following the introduction of new business standards related to cost recovery, the Department updated the MOU templates. In January 2013, the Department also updated a key supporting guidance documents that promotes quality and consistency in the development and implementation of MOUs (i.e., the *Accountability Framework for MOUs Related to the Provision of Legal Services*) to reflect the new business standards, roles, responsibilities and processes for cost recovery, and to highlight the importance of joint planning discussions. The Department also developed a revised template for the Planning and Forecasting Annex (entitled Annex B) of the MOU for implementation in 2013-14. The new Annex B template includes an attestation statement to be signed by both the Justice and client Contacts for the Management the MOU confirming that the forecast presented in the MOU reflects the results of joint planning discussions between Justice and the client organization, including consideration of options for controlling legal services costs.
- The development of forecasting tools and enhanced reporting capabilities on the cost of legal services implemented through the Cost Recovery Process Improvement Project, have strengthened the collective ability of Justice and its client organizations to make informed decisions about legal services requirements and associated costs.
- Justice's legal case management application (iCase) and Echo (a companion reporting tool that complements the reporting capabilities of iCase) continue to be used to support corporate reporting needs and to assist Justice managers and client departments in effectively planning, setting priorities, managing resources and managing the demand for legal services. For the past two years, the Department used Echo to generate historical information on level of effort and file inventory data that, together with historical information on cost recoveries, supported joint planning discussions between Justice and client organizations. In 2012-2013, information derived from Echo (and other sources) also provided key input to the development of efficiency measures that focus on managing the demand and cost of legal services and will support the Department in meeting commitments set out in the Government's 2012 Economic Action Plan. Access to Echo was extended and is now being used by financial and business analysts across the Department.
- In December 2012, the Department also commenced a phased implementation of a Legal Services Management Dashboard. The dashboard provides managers with quick and easy access to key legal case management information to support decision making right from their desktop. The various reports presented in the Dashboard help managers to: identify and assess trends; plan, monitor and report on key business activities; manage resources and continuously improve their operations by highlighting areas that may warrant further attention; engage in joint planning discussions with client organizations; and identify options for controlling legal services costs. Guidance material is available to support users in navigating through the various dashboard reports and interpreting information contained therein. In November 2012, an Advisory Committee was established to guide future enhancements to the information presented in the dashboard with a view to expanding the dashboard to include information from other domains (e.g., HR, Finance).
- Business process models developed in 2010-2011, outlining activities related to the management and delivery of legal services are available to support managers and business analysts in identifying business requirements and opportunities for process improvements.

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MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: REPORT OF THE AUDITOR GENERAL OF CANADA 2007

- The Business Practices Division reports on timekeeping compliance to executive management. Timekeeping information supports planning and forecasting, resource management, cost recovery, trend analysis and reporting on results. Regular timekeeping reports help senior management understand the evolution and scope of Justice's activities over time, measured in effort, as well as the level of quality and completeness of timekeeping information for each direct report. Internal Audit is also finalizing an audit on timekeeping compliance which will identify opportunities for continuous improvement in existing practices and management controls.
- Consistent and well-documented business processes, tools and standards are in place to facilitate client engagement, enhance transparency and accountability and help ensure a uniform approach to managing and reporting on the provision of legal services. In 2012-2013, Justice compiled an evergreen list of relevant business processes, tools and standards currently available to support informed decision making by client organizations about their legal services requirements and associated costs, including: guidance material, business standards and related communications developed as part of the Cost Recovery Process Improvement (CRPI) Project; the Budget Management Framework i.e., a formal document that provides context, standards and directions for budget management activities within Justice; a communications strategy and material related to announcements on the legal services rates; Treasury Board (TB) submission protocols (including the Week Ahead Report which lists all client led TB subs); and templates and guidance material related to MOUs for the provision of legal services. The list will be updated as additional processes, tools and standards are introduced in support of continuous improvement.

The Department established the Management Sector in August 2007 and assigned responsibility for implementing the changes recommended by the OAG with respect to law practice management to the ADM, Management Sector. In May 2012, with much of the work in relation to the 2007 OAG Audit completed, some of the work done in the Law Practice Management Directorate (LPMD) within the Management Sector was realigned with other units in the Department and other Divisions within the Sector. The resultant organization, while smaller, continues to provide essential services in relation to our national law practice. The Management Sector makes recommendations to senior management through the Department's governance structure and continues to work in collaboration with various working groups and advisory committees to advance key initiatives related to the management of the practice of law.

Estimated Date of Completion: Completed

CAE Assessment

In light of the observations, key findings and recommendations contained in the draft Audit of iCase / timekeeping compliance, IAB cannot support a level 5 assessment.

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**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: 2011 JUNE STATUS REPORT OF THE AUDITOR GENERAL OF CANADA

TAB 21: OAG June 2011 Status Update

Summary:

Tab	Audit Name	Audit Date	MAPs Outstanding for the Spring 2013 Exercise	# of MAPs to be Closed in Spring 2013 Exercise
21	<u>OAG June 2011 Status Update</u>	2011	1	1

[Back to Table of Contents](#)

Coordinator Name:	Rahima Kanani	Tel#:	(613) 952-5799
OPI:	Cheryl Driscoll	Tel#:	(613) 948-1977
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**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: 2011 JUNE STATUS REPORT OF THE AUDITOR GENERAL OF CANADA

OAG Audit Recommendation # 3.80 Report 2011-06 Chapter 3	Risk Ranking:
Internal Audit Departments that have not had an external quality assessment should have an assessment conducted as required by the International Standards for the Professional Practice of Internal Auditing and the Treasury Board Policy on Internal Audit.	

Management Response and Action Plan
Agreed. The Department of Justice is planning to conduct an external quality assessment during the 2011-12 fiscal year.

Last Update (June 2012)
Justice Canada's external quality assessment is currently in process. The results of this assessment will be presented to the Departmental Audit Committee at the first DAC meeting in the new fiscal year.
Assessment Level: Level 3 - Preparations for implementation

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input checked="" type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

Current Status as at March 31, 2013 (please provide details on progress against the management action plan):

Practice Inspection completed July 2012. The Practice Inspection report was presented to DAC in July 2012.

Estimated Date of Completion:

DAC Assessment

Coordinator Name:	Rahima Kanani	Tel#:	(613) 952-5799
OPR:	Cheryl Driscoll	Tel#:	(613) 948-1977
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**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: 2011 JUNE STATUS REPORT OF THE AUDITOR GENERAL OF CANADA

Coordinator Name:	Rahima Kanani	Tel#:	(613) 952-5799
OPI:	Cheryl Driscoll	Tel#:	(613) 948-1977
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**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

**Audit: Expenditure Controls
Office of the Comptroller General of Canada 2009**

TAB 22: OCG – Expenditure Control

Summary:

Tab	Audit Name	Audit Date	MAPs Outstanding for the Spring 2013 Exercise	# of MAPs to be Closed in Spring 2013 Exercise
22	OCG – Expenditure Control	2009	2	0

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Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPF:	Daniel Schnob	Tel#:	613-948-5117
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MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit: Expenditure Controls
Office of the Comptroller General of Canada 2009

OCG Audit Recommendation 2	Risk Ranking:
Expenditure Controls	
2. LDAs should ensure that there is adequate management representation in their governance process that determines or defines risk identification and policies and procedures related to risk based account verification. This representation should come from management with functional responsibility over account verification, management with awareness of pertinent risks to the operations, and those with appropriate decision making authority.	

Management Response and Action Plan
<p>A plan to engage the appropriate levels of management in analyzing risks related to account verification will be established and brought to the attention of senior management by March 2010.</p> <p>This will be followed by a consultative process with regional finance and business managers, and functional managers. The risk areas identified through this process will be formally documented by fall 2010.</p> <p>Subsequently, any necessary modifications to the policies and procedures related to the account verification of specific types of transactions will be considered, further to the results of the risk areas identified.</p> <p>As well, on a periodic basis, risk areas will be reassessed with representation from the appropriate levels of management.</p> <p>(September 2009)</p>

Last Update
<p>Updates for this recommendation were being tracked only by the CFO Branch prior to the March 2013 update. The following updates are on file for this audit recommendation.</p> <p>Sept 2010:</p> <p>A RFP has been prepared and a consultant will be hired to undertake this project. This will be a 3 year project and is expected to be completed during 2012-2013.</p> <p>March 2011:</p> <p>COFB posted the RFP for this project in January. One bid was received, but unfortunately the bidder was not meeting the mandatory requirements. The RFP was posted a second time in February and the bids are closing March 2, 2011. Also, of note, COFB has sent a request for funding through the spring reserve. The plan is still to get a contractor in before April 1st to get this project started.</p> <p>March 2012:</p> <p>The High Risk Transaction Project has been in effect since May 2011 and it's well on its way. At the moment, the salary and non-salary risk framework is almost complete.</p> <p>Sept 2012:</p> <p>As per the updates provided for internal audit (e.g. ORO-Finance and Administration internal audit recommendation #12), the high risk transactions project is still on track for completion at the end of 12/13.</p>

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FOPI:	Daniel Schnob	Tel#:	613-948-5117
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MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

**Audit: Expenditure Controls
Office of the Comptroller General of Canada 2009**

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input checked="" type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
Current Status as at March 31, 2013 (please provide details on progress against the management action plan):	
<p>The High Risk Transactions project has been delayed due to several major factors, such as Budget 2012 and modernization. This project is now considered to be part of the Procure to Payment (P2P) project, as the IFMS Gating Solution for high risk transactions is now an integral part of the IFMS (SAP) P2P solution / blueprint.</p> <p>In regards to P2P, Justice is now a pilot department for the TBS IFMS Program Office (IFMS Core) P2P solution / footprint for all federal government departments using SAP. The timeline for the implementation of the P2P solution is government wide and is now estimated to be by the end of fiscal year 2014-2015.</p>	
Estimated Date of Completion:	
March 31, 2015	
CAE Assessment	
The CAE supports the management self-assessment and notes that the anticipated delays stemming from Budget 2012 and the interdependencies with the Procure-to-Payment project.	

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OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit: Expenditure Controls
Office of the Comptroller General of Canada 2009

OCG Audit Recommendation 6	Risk Ranking:
Expenditure Controls	
6. LDAs need to develop rigorous sampling plans to monitor the verification process of low risk payments. These should be national in scope and allow for the collection of results indicating systemic errors, best practices, and monitoring of appropriate risk identification.	

Management Response and Action Plan
<p>In 2006-07, a Quality Assurance group was set-up to monitor the effectiveness of the verification process of low and high risk payments on a national sample basis. The first objective in the plan was to satisfy two internal audit reports on travel and hospitality. Reports were provided at the regional and national levels which identified error rates along with corrective action plans.</p> <p>The next objective is to expand the verification sampling process to the remaining low risk payments. However, the Department has recognized that the introduction of a formalized and uniform sampling plan that can be applied department-wide for low risk payments will require a significant level of development effort and system modifications, particularly if the sampling is to be done effectively and efficiently. As an upgrade to the Department's IFMS (accounting system) is planned over the next 2 to 3 years, we will use this opportunity to review our verification business processes, and introduce a consistent systems-based sampling methodology and monitoring plan.</p> <p>(September 2009)</p>

Last Update
<p>Updates for this recommendation were being tracked only by the CFO Branch prior to the March 2013 update. The following updates are on file for this audit recommendation.</p> <p>Sept 2010: A RFP has been prepared and a consultant will be hired to undertake this project. This will be a 3 year project and is expected to be completed during 2012-2013.</p> <p>March 2011: CFOB posted the RFP for this project in January. One bid was received, but unfortunately the bidder was not meeting the mandatory requirements. The RFP was posted a second time in February and the bids are closing March 2, 2011. Also, of note, COFB has sent a request for funding through the spring reserve. The plan is still to get a contractor in before April 1st to get this project started.</p> <p>March 2012: The High Risk Transaction Project has been in effect since May 2011 and it's well on its way. At the moment, the salary and non-salary risk framework is almost complete. . A statistical sampling plan will be developed with this project</p> <p>Sept 2012: As per the updates provided for internal audit (e.g. ORO-Finance and Administration internal audit recommendation #12), the high risk transactions project is still on track for completion at the end of 12/13.</p>

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

**Audit: Expenditure Controls
Office of the Comptroller General of Canada 2009**

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input checked="" type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
Current Status as at March 31, 2013 (please provide details on progress against the management action plan):	
<p>The High Risk Transactions project has been delayed due to several major factors, such as Budget 2012 and modernization. This project is now considered to be part of the Procure to Payment (P2P) project, as the IFMS Gating Solution for high risk transactions is now an integral part of the IFMS (SAP) P2P solution / blueprint.</p> <p>In regards to P2P, Justice is now a pilot department for the TBS IFMS Program Office (IFMS Core) P2P solution / footprint for all federal government departments using SAP. The timeline for the implementation of the P2P solution is government wide and is now estimated to be by the end of fiscal year 2014-2015.</p>	
Estimated Date of Completion:	
March 31, 2015	
CAE Assessment	
The CAE supports the management self-assessment and notes that the anticipated delays stemming from Budget 2012 and the interdependencies with the Procure-to-Payment project.	

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Horizontal Internal Audit of Compliance with the *Common Services Policy*
Office of the Comptroller General of Canada 2011

TAB 23: OCG Audit

Summary:

Tab	Audit Name	Audit Date	MAPs Outstanding for the Spring 2013 Exercise	# of MAPs to be Closed in Spring 2013 Exercise
23	OCG	2011	1	0

[Back to Table of Contents](#)

Coordinator Name:	Jo-Anne Brisebois	Tel#:	(613) 957-4220
OPI:	Chantal Quinn	Tel#:	(613) 946-4344
Also sent to:	Paul Wheatley (Action Plan II Jodi Bromley; Barbara Ritzen; Daniel Schnob /Carla Sanipelli (#2 a,c,e)		

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Horizontal Internal Audit of Compliance with the *Common Services Policy*
Office of the Comptroller General of Canada 2011

OCG Audit Recommendation (Planned Action I)	Risk Ranking: Medium
Evaluation of Legal Services	
Common Services Organizations (CSO's) should develop practices to measure cost-effectiveness and report on this information to key stakeholders.	

Management Response and Action Plan
The Department of Justice accepts this recommendation. The Department of Justice Evaluation Plan 2011-12 to 2015-16 includes coverage of the legal services to government program identified in the Program Alignment Architecture (PAA).

Last Update (March 21, 2012)
Ongoing and planned evaluations of legal services measure economy and efficiency of the delivery legal services.
<ul style="list-style-type: none"> 1) Tax Law Services (April 2013) 2) Public Law (Expected Approval in May 2013) 3) Legislative Services (Ongoing, expected completion May 2013) 4) Aboriginal Affairs Portfolio (Project initiated; anticipated completion in March 2014) 5) Litigation (Ongoing, expected completion June 2014) 6) PSDI Portfolio (Ongoing, expected completion December 2014) 7) Business and Regulatory Law Portfolio (Ongoing, expected completion September 2015) 8) Central Agencies Portfolio (Ongoing, expected completion March 2016)

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input checked="" type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full Implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

Current Status as at March 31, 2013 (please provide details on progress against the management action plan):
The evaluation methodology has been developed and evaluations are underway in accordance with the timelines indicated below. The evaluation of legal services is now part of the ongoing evaluation plan for the Department. The Management Sector considers this recommendation addressed and ongoing.
Ongoing and planned evaluations of legal services measure economy and efficiency of the delivery legal services.
<ul style="list-style-type: none"> 1) Tax Law Services (April 2013) 2) Public Law (June 2013) 3) Legislative Services (June 2013) 4) Aboriginal Affairs Portfolio (Project initiated; anticipated completion in March 2014) 5) Litigation (Planning completed; expected completion December 2014) 6) PSDI Portfolio (Planning completed; expected completion December 2014) 7) Business and Regulatory Law Portfolio (Planning completed; expected completion September 2015) 8) Central Agencies Portfolio (Planning nearly completed; expected completion March 2016)

Coordinator/Name:	Jo-Anne Brisebois	Tel#:	(613) 957-4220
OPI:	Chantal Quinn	Tel#:	(613) 946-4344
Also sent to:	Paul Wheatley (613) 954-2260		

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Horizontal Internal Audit of Compliance with the *Common Services Policy*
Office of the Comptroller General of Canada 2011

Estimated Date of Completion: First cycle of evaluations to be completed by March 2016

CAE Assessment

Management has formulated a series of measures and actions in response to the one OCG recommendation, to measure cost-effectiveness and report the information to key stakeholders. The CAE will assess the overall status of the Management Action Plan once all elements of the MAP have been fully implemented.

Coordinator Name:	Jo-Anne Brisebois	Tel#:	(613) 957-4220
OP:	Chantal Quinn	Tel#:	(613) 946-4344
Also sent to:	Paul Wheatley (613) 954-2260		

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

**Audit Name: Horizontal Internal Audit of Compliance with the *Common Services Policy*
Office of the Comptroller General of Canada 2011**

OCG Audit Recommendation	Risk Ranking: Medium
Common Services Organizations (CSO's) should develop practices to measure cost-effectiveness and report on this information to key stakeholders	

Management Response
The Department of Justice accepts this recommendation.

Planned Action
II Identification of cost effectiveness measures and processes for reporting
a) Implement business processes, tools and standards to support informed decision making by client organizations about their legal services requirements and associated costs

Status as at March 31, 2013:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input checked="" type="checkbox"/> Level 5 (Full Implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
<p>Consistent and well-documented business processes, tools and standards facilitate client engagement, enhance transparency and accountability and help ensure a uniform approach to managing and reporting on the provision of legal services.</p> <p>Justice has developed an evergreen list of relevant business processes, tools and standards currently available to support informed decision making by client organizations about their legal services requirements and associated costs, including: guidance material, business standards and related communications developed as part of the Cost Recovery Process Improvement (CRPI) Project; the <i>Budget Management Framework</i> i.e., a formal document that provides context, standards and directions for budget management activities within Justice; a communications strategy and material related to announcements on the legal services rates; TB submission protocols (including the Week Ahead Report which lists all client led TB subs); and templates and guidance material related to MOUs for the provision of legal services, including an updated <i>Accountability Framework for Memoranda of Understanding Related to the Provision of Legal Services</i>.</p> <p>The list will be updated as additional processes, tools and standards are introduced in support of continuous improvement, including the development of an overarching <i>Net Vote Revenue Framework</i> encompassing a policy, directives and guidelines as well as standard practices and tools that would enable better planning and monitoring of the costs of processing, reviewing and presenting documentary evidence in litigation.</p>	
Estimated Date of Completion: Completed	

CAE Assessment
Management has formulated a series of measures and actions in response to the one OCG recommendation, to measure cost-effectiveness and report the information to key stakeholders. The CAE will assess the overall status of the Management Action Plan once all elements of the MAP have been fully implemented.

Coordinator Name:	Jo-Anne Brisebois	Tel#:	(613) 957-4220
OPI:	Chantal Quinn	Tel#:	(613) 946-4344
Also sent to:	Cc: Jodi Bromley; Barbara Ritzen; Daniel Schnob /Carla Sanipelli (Recs #2 a,c,e)		

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

**Audit Name: Horizontal Internal Audit of Compliance with the *Common Services Policy*
Office of the Comptroller General of Canada 2011**

Planned Action	Risk Ranking: Medium
II b) Develop a list of best practices that would contribute to cost savings for consideration by Justice managers and discussion with client organizations	

Status as at March 31, 2013:	
<input type="checkbox"/> Level 1 (No or insignificant progress) <input type="checkbox"/> Level 2 (Planning Stage: plans created & approved) <input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation) <input checked="" type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented) <input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
<p>Developed a list of best practices with clear linkages to cost effectiveness. In March 2013, the list was shared on the Senior Level Executive sharepoint site for the information of managers. It will serve as a guidance document for managers to inform discussions with their client departments on options for better managing the demand and costs of legal services. Many of the items set out in this list align with efficiency measures identified as part of the Process Optimization commitment under the Modernization Strategy. It is understood that the list will evolve as the Department works through the implementation of the Process Optimization measures and if new measures are identified, they will be added.</p>	
Estimated Date of Completion: Completed	

CAE Assessment
<p>Management has formulated a series of measures and actions in response to the one OCG recommendation, to measure cost-effectiveness and report the information to key stakeholders. The CAE will assess the overall status of the Management Action Plan once all elements of the MAP have been fully implemented.</p>

Coordinator Name:	Jo-Anne Brisebois	Tel#:	(613) 957-4220
OPI:	Chantal Quinn	Tel#:	(613) 946-4344
Also sent to:	Cc: Jodi Bromley; Barbara Ritzen; Daniel Schnob /Carla Sanipelli (#2 a,c,e)		

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

**Audit Name: Horizontal Internal Audit of Compliance with the *Common Services Policy*
Office of the Comptroller General of Canada 2011**

Planned Action	Risk Ranking: Medium
II c) Formalize the practice of documenting the identification and consideration of options available to client organizations for controlling their legal services costs	

Status as at March 31, 2013:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input checked="" type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
<p>Strengthened guidance provided in the Integrated Business Planning process and the <i>Accountability Framework for MOUs Related to the Provision of Legal Services</i> regarding factors to consider and the overall approach for joint planning discussions with clients.</p> <p>Integrated revenue forecasting for individual client organizations into the Department's Integrated Business Planning process. Revenue forecasts are updated quarterly throughout the year.</p> <p>Introduced a revised template for the Planning and Forecasting Annex (entitled Annex B) of the MOU template to include the following attestation statement to be signed by both the Justice and client Contacts for the Management the MOU: "The total forecast presented above reflects the results of joint planning discussions between Justice and [client organization], including consideration of options for controlling legal services costs."</p>	
Estimated Date of Completion: Completed	

CAE Assessment
<p>Management has formulated a series of measures and actions in response to the one OCG recommendation, to measure cost-effectiveness and report the information to key stakeholders. The CAE will assess the overall status of the Management Action Plan once all elements of the MAP have been fully implemented.</p>

Coordinator Name:	Jo-Anne Brisebois	Tel#:	(613) 957-4220
OPI:	Chantal Quinn	Tel#:	(613) 946-4344
Also sent to:	Cc: Jodi Bromley; Barbara Ritzen; Daniel Schnob /Carla Sanipelli (#2 a,c,e)		

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

**Audit Name: Horizontal Internal Audit of Compliance with the *Common Services Policy*
Office of the Comptroller General of Canada 2011**

Planned Action	Risk Ranking: Medium
II d) Through the Client Feedback Survey, measure and report on client satisfaction with the extent to which they have been provided with options for controlling their legal services costs	

Status as at March 31, 2013:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input checked="" type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
<p>As part of the Client Feedback Survey Review, completed consultations with heads of Portfolios and specialized legal services offices regarding the inclusion of the proposed question related to controlling the cost of legal services in January 2013.</p> <p>The proposed question was tested with client department focus groups in early March.</p> <p>A recommendation on the inclusion of the proposed question in the Client Feedback Survey will be presented to Senior Management in May/June 2013 for decision.</p>	
Estimated Date of Completion: Implementation scheduled for September 2013*	
* On track with initial estimated completion date reported to DAC in July 2012 i.e., "Implement in 2013-2014 – first year of the next 3 year survey cycle".	

CAE Assessment
Management has formulated a series of measures and actions in response to the one OCG recommendation, to measure cost-effectiveness and report the information to key stakeholders. The CAE will assess the overall status of the Management Action Plan once all elements of the MAP have been fully implemented.

Coordinator Name:	Jo-Anne Brisebois	Tel#:	(613) 957-4220
OP:	Chantal Quinn	Tel#:	(613) 946-4344
Also sent to:	Cc: Jodi Bromley; Barbara Ritzen; Daniel Schnob /Carla Sanipelli (#2 a,c,e)		

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

**Audit Name: Horizontal Internal Audit of Compliance with the *Common Services Policy*
Office of the Comptroller General of Canada 2011**

Planned Action	Risk Ranking: Medium
II e) Identify measures of cost effectiveness that would be reported on in the Departmental Performance Report (DPR)	

Status as at March 31, 2013:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input checked="" type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full Implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
<p>Efficiency measures for reporting on the provision of legal services in the DPR are being developed and will draw on measures identified through the Department's Process Optimization Initiative and other initiatives, where appropriate.</p> <p>Efficiency indicators will be identified in the Department's Performance Measurement Framework (PMF) that will be submitted to TBS in October 2013, as part of the Management Resources and Results Structures (MRRS) update for 2014-2015.</p> <p>Efficiency indicators will be implemented and tested internally in 2013-2014, and revised if necessary. The Department will begin reporting on efficiency indicators to Parliament and the public in the 2015-2016 DPR.</p>	
<p>Estimated Date of Completion: September 2013*</p>	
<p><small>* The timelines have been updated to reflect an October 1st, 2013 deadline and guidance established by TBS for the development of efficiency indicators as part of the annual MRRS Amendment Process. Accordingly, the timelines for submitting efficiency indicators to TBS have been revised to October 1, 2013, as opposed to the August 2013 deadline reported to DAC in July. Also, the timelines for beginning to report on efficiency indicators in the DPR have been extended by one fiscal year in response to updated guidance from TBS i.e., mandatory reporting on efficiency indicators will commence with the 2015-2016 DPR, as opposed to TBS' previous deadline of the 2014-2015 DPR which had been conveyed to DAC in July.</small></p>	

CAE Assessment
<p>Management has formulated a series of measures and actions in response to the one OCG recommendation, to measure cost-effectiveness and report the information to key stakeholders. The CAE will assess the overall status of the Management Action Plan once all elements of the MAP have been fully implemented.</p>

Coordinator Name:	Jo-Anne Brisebois	Tel#:	(613) 957-4220
OPR:	Chantal Quinn	Tel#:	(613) 946-4344
Also sent to:	Cc: Jodi Bromley; Barbara Ritzén; Daniel Schnob /Carla Sanipelli (#2 a,c,e)		

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

**Audit Name: PUBLIC SERVICE COMMISSION STAFFING AUDIT OF JUSTICE
CANADA 2012**

TAB 24: PSC Audit

Summary:

Tab	Audit Name	Audit Date	MAPs Outstanding for the Spring 2013 Exercise	# of MAPs to be Closed in Spring 2013 Exercise
24	<u>PSC</u>	2012	2	0

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Coordinator Name:	Jo-Anne Brisebois	Tel#:	(613) 957-4220
OPI:	Mary Lynn Courtney /Martin Belliveau	Tel#:	(613) 941-1902
Also sent to:	Cc: Joan Pratt		

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

**Audit Name: PUBLIC SERVICE COMMISSION STAFFING AUDIT OF JUSTICE
CANADA 2012**

PSC Audit Recommendations	Risk Ranking:
<ol style="list-style-type: none"> 1. The deputy head of Justice Canada should establish and implement a control mechanism on the management and monitoring of sub-delegated authority to ensure that letters of offer are signed by managers to whom the authority had been sub-delegated. 2. The deputy head of Justice Canada should ensure that Justice Canada fully implements its staffing monitoring framework. This includes ensuring that appointment processes and related decisions are fully documented and compliant with legislative, regulatory and policy requirements. Monitored results should be reported to senior management for necessary actions, as needed. 	

Management Response and Action Plan
<i>See Attached.</i>

Last Update (June 2012)
Not applicable.

Update:
<div> <input type="checkbox"/> Level 1 (No or insignificant progress) </div> <div> <input checked="" type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation) </div> <div> <input type="checkbox"/> Level 2 (Planning Stage: plans created & approved) </div> <div> <input type="checkbox"/> Level 5 (Full implementation -- Structures & processes operating as intended and are fully implemented) </div> <div> <input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement) </div> <div> <input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable) </div>

Current Status as at March 31, 2013 (please provide details on progress against the management action plan):
<p>All actions identified in the departmental Action Plan to address audit findings were completed with the exception of the full implementation of the Staffing Monitoring Framework (SMF). To fully implement the SMF, the remaining element to complete pertains to the completion of an internal appointment review exercise by Human Resources and Professional Development Directorate (HRPDD)</p> <p>The review exercise concluded at the end of February, 2013. The final report regarding the findings of the review was submitted to the attention of the D.G. HRPDD and it is intended that the monitored results will be reported to senior management by end of May, 2013. Subsequently, the Public Service Commission will be notified of its completion for DSAR assessment purposes and provided with a copy of the results stemming from the review exercise and a copy of the communication material that was provided to senior management regarding the findings.</p>
Estimated Date of Completion: May 31, 2013

CAE Assessment
The CAE supports management's self-assessment at level 4.

Coordinator Name:	Jo-Anne Brisebois	Tel#:	(613) 957-4220
OPI:	Mary Lynn Courtney /Martin Belliveau	Tel#:	(613) 941-1902
Also sent to:	Cc: Joan Pratt		

Tab #	AUDIT NAME	Year	REC #	REC PART	Risk Level (L/M/H)	RECOMMENDATION	OPI	MGMT RESPONSE	CAE COMMENT - March 2012 Follow-Up May 23, 2012 / October 23, 2012	CAE COMMENT FALL FOLLOW-UP October 23, 2012	CAE COMMENT FALL FOLLOW-UP February 6, 2013	Count if sent out March 2013	Self-Assessment as at March 31, 2013	March 31, 2013 Level of Implementation (1 - 5 or Obsolete)	Mgmt Close Request	Estimated Date of Completion	Evidence	Follow-Up and Comments	Recommendation to CAE
22	OAG	2007	525-2			<u>Managing the Delivery of Legal Services to Government – Department of Justice Canada</u> In addition to its current management of alternative dispute resolution initiatives, Justice Canada should ensure that it clearly defines each initiative's objectives, estimates the potential cost savings and formally reviews the outcome of initiatives against their objectives		The Department agrees with the Auditor General's recommendation, which is consistent with the recent review of the Department's dispute resolution initiative that has resulted in a new mandate focused on providing services to departments supporting long-term prevention and early resolution of disputes. These client-focused services include systems design, legal advisory support, and training, all of which are linked to the departmental priorities of improving practice management and					At the time of the audit, strategies examined by the OAG related to a DR Fund which had been approved by Treasury Board. The DR Fund is no longer in place. This recommendation is therefore considered obsolete.	Obsolete	Y	Obsolete	n/a	***We need AMREC and DAC to agree.	

38	As at March 31st, 2013 (July 9th, 2013 DAC)				38
38	Level 5	16	4	Includes OCG II a,b,c separately	
0	Obsolete	1	1		
	Level 4	15	3		
	Level 3	9	0		
15	Level 2	0	1	Includes OCG II d,e separately	
10	Level 1	1	0		
15	Total	42	9		
7	Closed recommendations Spring 2013				
2		17	5	51	total IA + External (Excludes LSB and BCRO, not included in formula)
1					
28					

Management Action Plan Follow-Up Summary

History of MAP Follow-Ups at IAB

Summary of MAP Follow-Up for recommendations from 2007 TO 2011

Table 1	Number of Recommendations
Started With / Reviewed	711
No F-Up Required (Obsolete)	497
Sent	214

Summary of March 31, 2012 Follow-Up

Table 2	Number of Recommendations
Started With	214
Closed	130
Obsolete	11
Outstanding	73

Summary of September 28, 2012 Follow-Up

Table 3	Number of Recommendations
Started With	73
Added	10
Total Start	83
Closed	42
Obsolete	3
Outstanding	38

Summary of March 31, 2013 Follow-Up

Table 4	Number of Recommendations
Started With	38
Added	4
	11
Total Start	42
Closed	
Obsolete	
Outstanding	

OL+LSB (Not BCRO)
External

Management Action Plan Follow-Up Summary

Summary of Management Action Plan Follow Up March 2013

Summary of March 31, 2013 Follow-Up

Table 4	# of Internal Audit Recommendations	# of EXTERNAL Audit Recommendations	# of recs total
Started With Outstanding from Sept 28, 2012 MAP Follow-Up	38	9	
New Audit Recommendations Internal Audits: OL, BCRO, LSB**	6	0	
Official Languages	3		
Legislative Services*	1		
Total Start (# recommendations sent out)	42	9	
IA Follow-Up Required (Excludes BCRO and LSB)	39	9	48
At Level 5 - Close* & ***	16	4	
At Obsolete - Close	1	1	
Outstanding	22	4	

New Audits Added

Audit Name	# Recommendations for the Audit
Official Languages	3
Legislative Services*	1
BCRO**	2

*Legislative Services and BCRO Audits were approved at the DAC on October 15th, 2012.

Only 5 months for the March 31st 2013 follow up; therefore excluded from count

**BCRO did not respond to the follow-up, nor did IAB send them a reminder to oblige them to respond.

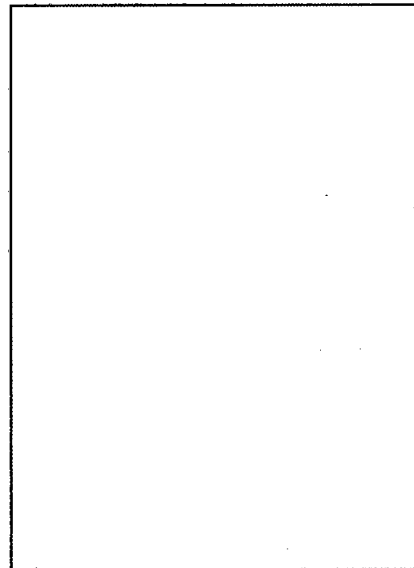
*** Excludes OAG a,b,c since d,e are at Level 2. The entire recommendation is counted as Level 2.

New External Audits Added

Audit Name	# Recommendations for the Audit
OAG	7
OCG	2
PSC	2

Recommendations by level of progress

Levels	Number of Recs	
Level 5	16	4
Obsolete	1	1
Level 4	15	3
Level 3	9	0
Level 2	0	1
Level 1	1	0
Total	42	9



Speaking Notes for CAE Briefing
Thursday, May 30, 2012, 2:00 pm – 5:15 pm

MAP Speaking Notes, CAE Briefing for June AMREC / July DAC

1	4	IFMS 2007 follow -up	Functional/Technical Support It is recommended that the Director General, Finance ensure that the IFMS help desk maintains statistics on the number and types of phone calls received from users.	The timeline for delivery and implementation of Solution Manager has been revised and is now planned for fiscal year 2013-2014. The CFO Branch does not have the in-house resources required to implement Solution Manager. Due to difficulties and delays in obtaining staffing approvals, the decision was made to use contract support. This has delayed the implementation timelines. Solution Manager will include Service Desk, which is an integrated SAP tool which tracks help desk tickets and support provided to IFMS users.	3	The recommendation relates to a 2007 audit, IFMS MAP remains at level 3 by self-assessment. Management says implementation time was delayed due to staffing difficulties. It is reasonable to remain at level 3, we won't push it too hard, but this is a watching file, and if you agree, we will leave this without follow-up. We suggest no push back because the recent transfer of responsibilities of the CFO, this is the underlying reason why it is <u>reasonable</u> to leave it without push back.
2	1	Materiel Management 2007 follow -up	It is recommended that the Director General, Administration ensures that a materiel management policy as well as procedures and guidelines specific to the Department of Justice are developed, implemented, and promulgated.	Further to the September 2012 update, the timelines have been extended. Due to difficulties and delays in obtaining staffing approvals, the decision was made to use contract support. This has delayed the implementation timelines. The policy suite will be sent for consultation in the summer 2013 and should be approved by the end of October 2013.	3	This recommendation is related to a materiel management policy & procedures and guidelines specific to DOJ being developed, implemented, and promulgated. Mgmt S-A at L3. Status has not changed since last time and the rec has been outstanding for 6 years. Continue to extend the deadline, mgmt sector --> CFO change of responsibilities. <u>Reasonable</u> to keep as a watching file.
3	8	FLAS 2007 follow -up	FLAS Management Framework Procedures, Documentation, & Training It is recommended that the Director, FLAS ensure that: 8 a) Written procedures for the Financial Officer are revised to more clearly describe FOAEA procedures and to include CRDP financial procedures.	All financial procedures have now been documented.	5	Please turn to TAB 3. 1- This recommendation relates to the <u>revision</u> of FLAS's written procedures for financial officers, in order to more clearly describe FOAEA procedures & to include CRDP financial procedures. 2- This recommendation goes back to 2007. 3- Mgmt S-A at L5, full implementation We <u>TENTATIVELY recommend</u> "close". With CFO concurrence of what they may have raised, I reviewed the manual from FLAS and it appears to address the

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				problem of the 2007 audit. Documentation: Procedures for CRDP (Chaper 9 on sdrive) and FOAEA Procedures Manual (binder).
3	<u>FLAS</u> <u>2007</u> <u>follow</u> 16 <u>-up</u>	<u>Findings – Family Orders and Agreements Enforcement Assistance</u> <u>FOAEA Systems Management</u> It is recommended that the Director, FLAS ensure that: 16 b) IT Team procedures with regard to FOAEA system operations are documented.	The FOAEA system operations' documentation was completed on March 31, 2013.	This recommendation relates to FOAEA <u>system operations</u> being documented. Mgmt S-A at L5. We received the documentation, reviewed it, and based on this we <u>recommend</u> "close". 5 Procedures Manual from Denis (sdrive). Verified.
3	<u>FLAS</u> <u>2007</u> <u>follow</u> 22 <u>-up</u>	<u>Findings – Central Registry of Divorce Proceedings Interaction between the CRDP Unit and Finance</u> It is recommended that the Director, FLAS ensure that: 22 a) The IFMS and CRDP system data is reconciled on a quarterly basis. b) Variances are explained. c) Adequate records are maintained of the reconciliation actions taken.	FLAS will provide the CFOB with the required information on a quarterly basis starting fiscal year 2013-2014 and provide explanations for any variances. CFOB will provide quarterly reconciliation.	This recommendation relates to the reconciliation process and timeliness of data. Mgmt S-A at L5. WE RECOMMEND CLOSURE. We received an e-mail in this regard from CFOB and it appears CFO cannot fully verify the reconciliation process is working until the end of June. Therefore, we're <u>recommending</u> the closure with a caveat that the Preliminary Survey will confirm whether it's meeting the standards. 5
3	<u>FLAS</u> <u>2007</u> <u>follow</u> 23 <u>-up</u>	<u>Findings – Central Registry of Divorce Proceedings</u> <u>CRDP System Management</u> It is recommended that the Director, FLAS ensure that: 23 d) System requirements are reviewed to meet appropriate financial controls.	Audit trails implemented in 2012-13 allow capture of any financial input/changes in the CRDP system. Invoicing and compensation records are kept in the system. The Director has ensured that the current system, audit capacity and procedures allow us to meet appropriate financial controls. After review, at this time, no further technical changes to the financial component of the CRDP system are warranted at this time.	This recommendation relates to a review of the system requirements to meet appropriate financial controls. Mgmt S-A as Close/ and <u>warrants</u> full implementation. We agree and recommend you to close this one. The evidence, for now, is that management <u>warrants</u> the close; the Preliminary Survey of FLAS, 2014-15 will confirm mgmt's S-A. 5 <u>Recommend</u> closure but ensure this is included in follow-up audit work (preliminary survey of FLAS, 2014-15) The scope looks at the current system; and the preliminary survey looks at whatever the capacity and procedures do support appropriate financial controls

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4	<u>ORO</u> <u>(FinAd</u> <u>min)</u> <u>2008</u> <u>follow</u> <u>-up</u>	<u>Functional Guidance & Direction</u> It is recommended that, in conjunction with the regional offices, the Director General, Finance develop a coherent and measurable set of performance objectives for the finance function capable of providing comparisons between regional offices.	<p>Further to the consolidation of Financial, Contracting and Materiel Management services across the Department of Justice within the CFOB in August of 2012, significant progress in implementing the related CFOB modernization plan has been achieved. The CFOB has implemented a new service delivery model for processing transactional payments and has finalized an organizational footprint for each of the five regional offices to ensure capacity exists to provide a consistent level of service. Weekly Regional Director of Finance teleconferences facilitate an understanding of each regional office's current practices and client service levels. This understanding enables the CFOB to identify and implement best practices and establish consistent business processes and levels of client service.</p> <p>In addition, the CFOB conducted a department-wide survey targeted at CFOB customers to gain an understanding of its customer's perception of the current Accounts Payable function and to establish a baseline to further build upon. This information is critical to the success of the new service delivery model.</p> <p>The work noted above is foundational to one of the key projects identified in the 2013/14 CFOB Operational Plan: the "Development of a Performance Measurement Framework and Strategy". Key milestones of this project include reviewing and assessing best practices for performance measurement for analogous organizations and communicating with and documenting CFOB staff and customer service standard expectations by September 30th, 2013. The development of service standards for all CFOB functions (includes the Regional CFOB offices as well as the NCR CFOB office) and the development of a "dashboard" to be used as a communication tool for monitoring and reporting on key commitments and initiatives, are targeted for completion by March 31st, 2014. The identification of performance indicators to measure results and provide meaningful feedback and the implementation of a CFOB balanced scorecard are targeted for completion in early 2014/15. The implementation has been delayed due to difficulties and delays in obtaining staffing approvals.</p>	<p><i>Turning to Tab 4 ORO Finance and Administration from 2008, this recommendation is about developing coherent and measurable performance objectives for the finance function, in order to provide comparisons between regional offices. Mgmt S-A's at Level 3, indicating that the consolidation (of this area with CFOB) in support of the Modernisation Strategy has allowed them to keep working on this project but the implementation of the recommendation is delayed because of staffing delays.</i></p> <p>It is reasonable to accept this management response (and the proof is the affected staff in the CFOB). Recommendation moved up a level, from 2 to 3, which shows that they are making progress; it's the consolidation in support of the modernization strategy that is pushing everything else back. Therefore, it is reasonable to leave as is.</p>
4	12 <u>ORO</u> <u>(FinAd</u> <u>min)</u> <u>2008</u> <u>follow</u> <u>-up</u>	<u>Operational Performance Indicators</u> It is recommended that the Director General, Finance consider activating SAP features, such as gating, threshold warnings, and volumetric triggers.	<p>Further to the March 2012 update, the Department will be implementing the IFMS Core Solution for statistical sampling for non-salary expenditures. The CFO Branch is exploring software options for statistical sampling for salary transactions. The CFO Branch is also investigating the implementation of the Gating Solution as a prerequisite for statistical sampling.</p> <p>LEVEL 3 // Estimated Date of Completion: March 31, 2013</p>	<p>The recommendation is about activating SAP features – Performance reporting capabilities. Mgmt S-A's at L3 (<i>saying they will be implementing statistical sampling using IFMS Core Solution</i>) and moved the date of completion by about 6 months. This in part means that the enhanced reporting capabilities is tied to IFMS Core Solution (and procure to pay project), so the major part of the delay is because this is affected by the centrally driven IFMS Core Soln (SSC – ie: IT solutions are driven by the centre. Therefore to move the project forward you need the support of SSC (or PWGSC).</p>

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				We feel Mgmt response is reasonable. Even though the established date of completion was pushed back by ½ year, progress was made.
5	<u>Programs Branch</u> 13 <u>h</u> <u>2008</u> <u>follow-up</u>	<u>Interest on Overdue Accounts</u> It is recommended that the DG, Programs Branch ensure that interest on overdue accounts is charged as required.	Interest will be charged with the exception of small amounts or accounts being assessed as likely to be unrecoverable. Subsequent to the update of March 2012, a draft briefing note to the Deputy Minister (DM) to obtain blanket approval to waive interest charges for the above-mentioned exceptions was prepared early in the fiscal year (2012-13) and circulated for comments. As recommended by the Debt-Write Off Committee, further changes were required to the briefing note. The briefing note is still pending at the moment. If approval for blanket authority is not obtained from the DM, the approval for waiving interest on specific accounts will continue to be carried out upon submission of the uncollectible or deemed uncollectible accounts to the Debt-Write Off Committee prior to recommending for approval to the CFO/DM.	Recommendation is about PB ensuring that interest on overdue account is charged. Mgmt S-A at L5. Mgmt Response was <u>justified by CFOB</u> , supporting a full implementation. *** Recommendation from CFOB to close-out recommendation as fully implemented. Justification e-mail.
6	<u>SMS</u> <u>2010</u> 1	<u>Responsibilities & Organization</u> It is recommended that the Chief Financial Officer ensure that: a) responsibilities for managing and supporting the SMS and ensuring that the system is used appropriately are defined and documented; b) the Finance Branch increase its monitoring of SMS use by users and of the accuracy of SMS data.	Further to the September 2012 update for part (a) of the recommendation, the roles and responsibilities in managing and supporting the Salary Forecasting Tool have been formally approved. LEVEL 5 // Date of Completion: March 31, 2013	Recommendation 1 has 2 parts: a) defining and documenting of mgmt SMS; And b) is about increasing the monitoring. Mgmt S-A at L5. At the Last Update, Part b was completed, so we are verifying Part a), and, with this <u>attestation</u> that part a) was completed, we <u>recommend</u> "close".
6	<u>SMS</u> <u>2010</u> 16	<u>Information Technology Security</u> It is recommended that the Chief Financial Officer request that the CIO prepare a new TRA and C&A.	Clarification was received in February 2013 from IMB and the Internal Audit Branch that Certification and Accreditation (C&A) is always required after the TRA is completed. The CFO Branch will follow-up with Information Solutions Branch (former Information Management Branch) by May 31, 2013 regarding what is required and the time line for completing the Certification and Accreditation. The implementation has been delayed due to difficulties and delays in obtaining staffing approvals.	This recommendation requires the CFO request a TRA and C&A for the SMS system. Mgmt S-A at Level 4, which is the same as at the last update. Management's Assessment is that the implementation is delayed due to staffing difficulties. We recommend leaving it at that.

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7	2	IMMI GRATI ON LAW ROs 2009	Information Systems It is recommended that the Director General, Law Practice Management Directorate, and the ADAG, PSDI Portfolio, consider the deployment of GASPARD to client departments (with respect to case law).	GASPARD (with respect to case law) was successfully made available to CIC and CBSA on a limited basis. CIC and CBSA access to GASPARD ceased in 2012 when all legal knowledge management systems were replaced by Justipedia, Justice Canada national legal knowledge management portal. National guidelines on Justipedia are currently being drafted and will address questions such as access rights to Justipedia. The Management Sector and PSDI have responded to the specific recommendation contained in the audit report and considers this action completed.	5	Turning to Tab 7, Immigration Law RO. The recommendation is for considering the deployment of GASPARD to client departments. Mgmt S-A at L5, full implementation because they've rolled-out Justipedia. Nick can explain this one.
8	3	Budge tary Alloca tion Forec asting 2010	Financial Management Advisors It is recommended that the CFO: a) after consulting with portfolio/sector heads, ensure that the roles and responsibilities of the Financial Management Advisor function are defined; b) seek the support of the Senior Management Board to ensure the successful implementation of the Financial Management Advisor function in portfolios and sectors.	Part (a) of the recommendation was completed as of the March 2012 update. In regards to part (b) of the recommendation, CFOB continues to work on developing the FMA model. The model remains a key priority for the Chief Financial Officer, with the goal of transitioning the FMA role to that of a strategic advisor. Further to the September 2012 update, CFOB has worked extensively on its Consolidation Plan; however, the Plan has not yet been approved by the DM. It is the hope of the CFO that the Consolidation Plan will be presented to the DM shortly, and approved and supported by the senior leadership of the Department. It has been challenging to staff FMA positions in the current environment of constraint, and in moving forward it remains unclear if these constraints will be lifted. The implementation has also been delayed due to difficulties and delays in obtaining staffing approvals. The plan is to augment the FMA structure over the next two to three years with FI 04s that will play the strategic advisor function to ADMs and ADAGs. These senior FMAs will be supported by other FMAs at various levels.	3	Turning to Tab 8 Budgetary Allocation Forecasting, the recommendation calls for a) defining the roles and resps of FMAs and b) implementing the FMA function within portfolios and sectors with the support of Senior Mgmt Board. Mgmt S-A at L3. Note that mgmt S-A that Part a was completed at the last update. It is Part b) that mgmt has S-Assessed as L3, stating that they are continuing to work on it (they have a model and had initial support), however, in the current context, it's a challenge to actually implement. (Further progress is affected by DRAP, the consolidation initiative and more broadly the modernization strategy. We are in <u>support</u> of the response provided. [Nick might elaborate if need be. Any delays still come back to consolidn / mod strat and consequent difficulties in staffing.]
9	2	Cost Recov ery Frame work 2010	Integrated Planning It is recommended that the CFO, with the support of the ADM, Management Sector, ensure that an integrated plan is prepared that sets out a strategy for the management of cost recovery.	Status = Ongoing (70% complete) The outcomes of the Cost Recovery Process Improvement (CRPI) project serve as the foundation for the development of the Net Vote Framework. Continued progress has been made on CRPI since the last update, including the completion of Phase II of the project on March 31st, 2013. Depending on a 2013-14 departmental reserve funding decision, it is anticipated that CRPI will be prolonged until the Summer of 2013 in order to deliver further enhancements requested by the user community. Building upon the common business practices and standards implemented in conjunction with CRPI, the CFO Branch intends to complete the development of the Net Vote Framework by Summer 2015. The extended	4	Turning to Tab 9, Cost Recovery, recommendation #2 asks the CFO to prepare an integrated plan that sets out a strategy for the management of cost recovery. Mgmt S-As at L4, stating the Cost Recovery Process Improvement project serves as the the foundation for the Net Vote Framework. The latter is delayed implementation is delayed as a result of CRPI project timelines being extended, the staffing delays and the reallocation of resources to other areas within the CFOB to maintain core activates. This recommendation will be closed in Sept 2015 and we agree with the Mgmt S-A. {Nick might talk about this one}

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			<p>delay of the Net Vote Framework implementation is attributed to three factors: a continued extension of the CRPI project timelines (now possibly until Summer 2013), the delays in approvals to staff for positions to work on this project, and the reallocation of resources in the CFO Branch to maintain other core activities.</p> <p>To date, the broad framework and concept for the Net Vote Framework has been shared with the Finance, Timekeeping (iCase Business Practice Division) and Director of Business Management communities. In late April 2013, the broad framework and concept is scheduled to be presented to the Deputy Minister at Management Committee. In May 2013, the project charter and the first draft policy will be shared with the Finance, Timekeeping (iCase Business Practice Division) and Director of Business Management communities.</p> <p>LEVEL 4 // Estimated Date of Completion: Summer 2015</p>	
9	<p><u>Cost</u> <u>Recov</u> <u>ery</u> <u>Frame</u> <u>work</u> <u>2010</u></p> <p>3</p>	<p><u>Human Resources</u></p> <p>It is recommended that the CFO ensure that each of the portfolios and the three specialized legal areas at headquarters are appropriately staffed with FMAs.</p>	<p>The plans for the FMA portfolio continue to evolve due to the review of internal services, which resulted in a consolidation along functional lines, including Finance. The review also resulted in reductions, which has had a direct impact on our ability to staff various positions, including those within the FMA portfolio. The plans for implementation have also been delayed due to difficulties and delays in obtaining staffing approvals. There is now a shortage of FMAs in four sectors and portfolios. The staff shortage coupled with the consolidation of internal services will result in a re-organization of the FMA structure within CFOB and across the Department.</p> <p>The review of this structure should be completed shortly. A new organizational structure will be proposed to the CFO and subsequently to the DM, which will continue to ensure that FMAs remain strategic advisors that are client focused.</p>	<p>Rec- Staffing of FMAs (in each portfolio and legal areas at HQ). Mgmt S-A: Still at level 4 Recommendation is affected by consolidation of internal services impacting the FMA model (ie: the staffing model). It is <u>reasonable at L4</u>, without push back until the end of NEXT fiscal year (March 2015).</p> <p>4</p>
10	<p><u>Peopl</u> <u>esoft</u> <u>HR</u> <u>Mana</u> <u>geme</u> <u>nt</u> <u>Syste</u> <u>m -</u></p> <p>5</p>	<p><u>System Documentation</u></p> <p>It is recommended that the DG, HRPDD ensure that the Operations Guide is finalized and provided to users as soon as it is completed.</p>	<p>The PeopleSoft mandatory technical upgrade resulted in changes to the look and feel of the system as well as navigation within the system. Given this upgrade, the HR Systems team revised the Operations Guide to reflect the new product following completion of the upgrade, which was released into production on November 19, 2012. This was followed by a four week stabilization period.</p> <p>The March 31, 2013 deadline has been met.</p>	<p>Tab 10, Audit of PeopleSoft 2011. Recommendation to ensure that the Operations Guide is finalized and provided to users. S-A: L5, saying they revised the Guide and released it into production in Nov 2012. We agree and we received the Operations Guide.</p> <p>5</p>

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	<u>March 2011</u>			
10	7 <u>PeopleSoft HR Management System - March 2011</u>	<p><u>Back ups and Business Continuity Planning</u></p> <p>It is recommended that the DG, HRPDD ensure that the criticality of PeopleSoft is assessed through a BIA, and that a BCP is completed for PeopleSoft.</p>	<p>On Track</p> <p>The HR Business Continuity Plan was used as the basis for the development of a PeopleSoft BCP. The PSoft BCP is complete and is referenced in an addendum, developed by IMB, of an IT BCP related to Corporate Applications.</p> <p>The PeopleSoft BCP is being updated to include the April, 2013 version of the HR BCP.</p> <p>The March 31, 2013 deadline has been met.</p>	<p>Rec #7 refers to completing a BIA and BCP. Mgmt S-A at L5. And we agree with the S-A as we received the BCP.</p> <p>5</p>
10	11 <u>PeopleSoft HR Management System - March 2011</u>	<p><u>Data Sensitivity & Security</u></p> <p>It is recommended that the DG, HRPDD ensure that a Privacy Impact Assessment and a Threat and Risk Assessment are completed.</p>	<p>The TRA has been completed and endorsed by all parties involved.</p> <p>The March 31, 2013 deadline for the TRA has been met.</p> <p>The PIA is underway.</p>	<p>Rec#11 is about completing a PIA and TRA. Mgmt S-A at L4 stating that the TRA is complete. The PIA is under way and the recommendation will be at full implementation at the next round. We agree that it's fine for this round and have noted that a TRA should be requested at time of close.</p> <p>4</p> <p>(OK for now; ask for TRA only at time of "close"- Level 5.)</p>

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10	<u>Peopl</u> <u>esoft</u> <u>HR</u> <u>Mana</u> <u>geme</u> <u>nt</u> <u>Syste</u> <u>m -</u> <u>March</u> <u>2011</u>	<u>Data Sensitivity & Security</u> It is recommended that the DG, HRPDD ensure that the Certification and Accreditation of PeopleSoft is updated.	The Information Management Branch, in conjunction with the HR Systems Unit, has completed this work. The March 31, 2013 deadline has been met.	Rec #12 is about updating the C&A, mgmt assesses at L5. We followed-up with IMB and were told that the Accreditation (if it existed) was no longer valid. We (Nick) notified the OPI (Joan Pratt) that we <u>would likely only be able to support a level 4</u> – substantial implementation at this time.
10	<u>Peopl</u> <u>esoft</u> <u>HR</u> <u>Mana</u> <u>geme</u> <u>nt</u> <u>Syste</u> <u>m -</u> <u>March</u> <u>2011</u>	<u>Data Sensitivity & Security</u> It is recommended that the DG, HRPDD ensure that the appropriate protection level for all HR data is identified and communicated to staff.	Please refer to recommendation #11 above. The review of security levels forms part of the Privacy Impact Assessment (PIA). A communications strategy will be developed and implemented upon completion of the PIA.	Rec#13 requires the DG of HRPDD to <i>ensure that the appropriate protection level for all HR data is identified and communicated to staff</i> . Mgmt S-A at L3 and have pushed the date back to full completion anticipated for Dec 2013. The delay here is tied to the completion of the PIA. We think it is <u>reasonable</u> to wait until the next round.
11	<u>Legal</u> <u>Agent</u> <u>Accou</u> <u>nt</u> <u>Verific</u> <u>ation</u> <u>Proce</u> <u>ss</u> <u>(LAAV</u> <u>) 2011</u>	<u>Policies, Procedures & Guidelines</u> It is recommended that the Director, LPMC, in consultation with the Chief Financial Officer, review and update procedures regarding account verification for use by all regional offices.	Executive Committee approved the full suite of policy instruments on April 10, 2013. LPMC expects to implement the policy suite in all regional offices and legal services units across the Department by June 30, 2013. The action plan is 98% complete.	Turning to Tab 11, LAAV rec #1 – is about reviewing and updating the procedures regarding account verification for use by regional offices, this to be done with CFO collaboration. Mgmt S-A at L4, noting that the <i>executive committee approved the full suite of policy instruments on April 10, 2013</i> . And, assuming that at the next update it will be fully implemented, we will then consult with CFO to see if it has rolled-out to the regional offices [b/c the approval was there, showing a 98% completed) OK - (Once it's at L5, consult with CFO especially that there are amendments to the DOFA.

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11	3	<u>Legal Agent Account Verification Process (LAAV) 2011</u>	<p><u>Rates & Delegation</u></p> <p>It is recommended that the Director, LPMC ensure that the hourly rate guidelines and the delegated approval authorities are reviewed and modified.</p> <p>Executive Committee approved the full suite of policy instruments on April 10, 2013. LPMC expects to implement the policy suite in all regional offices and legal services units across the Department by June 30, 2013.</p> <p>Consultations with CFOB are complete, which resulted in a number of amendments to the Department's Delegation of Financial Signing Authorities Chart and Supporting Notes. These amendments are subject to Departmental approvals expected in late May 2013.</p> <p>The action plan is 98% complete.</p>	<p>LAAV rec#3 is about <i>ensuring that the hourly rate guidelines and the delegated approval authorities are reviewed and modified</i>. Mgmt S-A at L4 and again, they mention that <i>the Executive Committee approved the full suite of policy instruments on April 10, 2013</i> and that they will have this recommendation fully implemented by the next update. Therefore at the next round we will consult with CFO to support closure.</p> <p>4</p> <p>OK - (Once it's at L5, consult with CFO especially that there are amendments to the DOFA.</p>
12	4	<u>Staffing 2011</u>	<p><u>Controlling</u></p> <p>It is recommended that the Director General, HRPDD take the necessary steps to implement the Staffing Monitoring Framework.</p> <p>To fully implement the Staffing Monitoring Framework (SMF), the remaining element was the completion of an internal appointment review exercise by Human Resources and Professional Development Directorate (HRPDD)</p> <p>The internal appointment review exercise was initiated on November 1, 2012 and concluded at the end of February, 2013. The final report regarding the findings of the review was submitted to the attention of the D.G, HRPDD and will be reported to senior management by end of May, 2013.</p>	<p>Next is Tab 12, Rec#4 for Staffing 2011, is about taking <i>the necessary steps to implement the Staffing Monitoring Framework</i>. Mgmt S-A at L4, and they anticipate that they will reach full implementation of the SMF at the next update. We think this is <u>reasonable</u>.</p> <p>4</p> <p>OK (at Close Level 5, request to see whatever presentation and minutes of approval at the HR Committee)</p>
13	4	<u>CBSA LSU 2011</u>	<p><u>Controlling</u></p> <p>It is recommended that the Senior General Counsel ensure that the CBSA Legal Services Manual is finalized and distributed to staff.</p> <p>The working group tasked with this audit recommendation has met and some of the newly developed office procedures have been finalized. There has been some progress made on finalizing the overarching document.</p>	<p>Turning to Tab 13, CBSA 2011, the rec #4 is specifically oriented to a [Legal Services] manual distributed to all staff. Mgmt S-A at L3 which has moved up from the last update (L2). And they anticipate completion by next update. We think this is <u>reasonable</u>.</p> <p>3</p>

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13	<u>CBSA</u> <u>LSU</u> <u>2011</u> 5	<u>Human Resources</u> It is recommended that the Senior General Counsel ensure that the work objectives for team leaders refer to assigned responsibilities for their corporate priority in order to facilitate the performance appraisal process.	Following the May 23, 2012 planning exercise, and the e-mail setting out the corporate objectives for each of the managers, the Executive Director met with each of the managers to discuss their corporate objectives. Each manager produced a work plan for their objectives, and the Executive Director and managers have discussed progress at regular intervals. These objectives are incorporated into individuals PMAs and the managers will be evaluated on their progress on the objectives. We are in the process of scheduling our annual planning exercise for fiscal year 2013/14 (likely to be held in early May), and will again set objectives for each of the managers. The cycle will begin again.	This rec (#5) is about making sure that work objectives are clear. Mgmt S-A at L5 and we trust the management response and recommend to you to "close the recommendation. We can request one or two PMAs or the PMA templates if you wish. 5 BS Recommendation.
14	<u>Regional Contracting</u> <u>2011</u> 1	<u>Planning</u> It is recommended that the Director General, Administration Directorate, in conjunction with the regional directors of Corporate Services, ensure that adequate planning in relation to contracting activities is undertaken at the regional level.	Most of the key components were previously completed, as outlined in the September 2012 update. Bids have been evaluated for the court reporter / transcription requirements in British Columbia and agreements will be awarded in April 2013. As well, The requests for standing offers (RFSOs) for court reporters/transcription were posted in March for Manitoba, Saskatchewan and Alberta. A RFSO for processes servers in Ontario was also posted. All the standing offers for process servers and for court reporting/transcription should be issued by December 2013. The implementation has been delayed due to difficulties and delays in obtaining staffing approvals.	Turning to Tab 14 Regional Contracting 2011, Rec#1 – is about making sure <i>that adequate planning in relation to contracting activities is undertaken at the regional level</i> . Mgmt S-A at L4 , noting that most of the key components were implemented last time. In terms of the outstanding element, they've made progress and expect completion in Dec 2013 for the standing offers at the regional levels. Noted staffing difficulties causing delay in implementation. This is a <u>reasonable</u> response. 4
14	<u>Regional Contracting</u> <u>2011</u> 4	<u>Contracting Activity under \$10,000</u> It is recommended that the Director General, Administration Directorate, monitor contracting activity under \$10,000, including the sampling of contract files, to determine the extent of compliance with policies and procedures.	Further to the September 2012 update, the Monitoring and Compliance Program will be implemented in June 2013 following indeterminate staffing action. The implementation has been delayed due to difficulties and delays in obtaining staffing approvals. The Contracting policy suite was approved at Executive Committee in November 2012 and was issued December 14, 2012.	Rec#4 is about increased monitoring for contracts under \$10K. Mgmt S-A at L4 , at the last update, most of the actions were implemented, noting that there are two remaining elements of management response that remain open and they are 1- the monitoring & 2 - the compliance program. They anticipate close by the next update and also mention that staff delays cause difficulties in hiring (NF control S-A etc... he will speak to it...) 4 OK (Next update, they should have an update; to note that we delayed an audit so that they can implement monitoring.)

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14	7	<u>Regional Contracting 2011</u>	<u>Regional Contracts Review Committee</u> It is recommended that the Director General, Administration Directorate, in conjunction with the regional directors general, ensure that the Regional Contracts Review Committees have clear terms of reference governing the exercise of their stewardship responsibilities with respect to contracting.	Further to the September 2012 update, the Terms of Reference for the Contract Review Committee were approved by the Regional Directors General in March 2013.	5 Rec#7 is about <i>Regional Contracts Review Committees having clear terms of reference (TORs) governing the exercise of their stewardship responsibilities with respect to contracting</i> . Mgmt S-A at L5 – stating that that TORs for the Contract Review Committee were approved by the RDGs in March 2013. [We think that maybe what happened is that the Regional Offices don't do their own contracting.] We reviewed the TORs for the Regional Contracting Review Committee and we agree with mgmt response, [as this recommendation was about ensuring that the TORs were clear, which they are in the RCRC Outline.]
14	8	<u>Regional Contracting 2011</u>	<u>Reporting & Quality of Information for Management Decision Making</u> It is recommended that the Director General, Administration Directorate, ensure that contracting information in IFMS is regularly reviewed for data integrity (complete, accurate, and timely).	Further to the September 2012 update, the Monitoring and Compliance Program will be implemented in June 2013 following indeterminate staffing action. The implementation has been delayed due to difficulties and delays in obtaining staffing approvals.	4 Rec asks to <i>ensure that contracting information in IFMS is regularly reviewed for data integrity (complete, accurate, and timely)</i> . Here, again it is about the full implementation of the monitoring and compliance program. Mgmt S-A at L4, suggesting that the DRAP hindered them from fully implementing on time. And they anticipate completion at the next round. We think this is <u>reasonable</u> .
14	9	<u>Regional Contracting 2011</u>	<u>Reporting & Quality of Information for Management Decision Making</u> It is recommended that the Director General, Administration Directorate, in conjunction with the Chief Financial Officer, ensure that procedures, validation and edit rules are in place to manage contracting data.	Further to the September 2012 update, the Monitoring and Compliance Program will be implemented in June 2013 following indeterminate staffing action. The implementation has been delayed due to difficulties and delays in obtaining staffing approvals. In regards to the "Procure to Payment at Justice Project", Justice is now a pilot department for the PWGSC IFMS Program Office (IFMS Core) procure to payment solution / footprint for all federal government departments using SAP. Justice will be involved in all the steps of the pilot process, including the building, testing, integration, and roll-out steps. This will facilitate a robust knowledge transfer as the departmental subject matter experts (SMEs) will work collaboratively with the IFMS Program Office throughout the pilot process. The timeline for the implementation of the procure to payment solution is government wide and is now estimated to be by the end of fiscal year 2014-	3 Rec #14 is about ensuring <i>that procedures, validation and edit rules are in place to manage contracting data</i> . Mgmt S-A at L3, with full implementation expected by 2015, in part, this reflects the work being done on P2P. P2P is relevant because as we move forward, procure to payment, used for contracting for goods. Therefore, the P2P model being implemented government-wide means people across the department need to be trained. We recommend the <u>acceptance</u> of the new deadline in light of how P2P affects the implementation of this recommendation. Basically, they need to make sure people are trained with respect to P2P but P2P will only be implemented next year. So it is basically the system for p2p that is delaying the implementation of this recommendation. OK - Note to self: Second last paragraph of status update - incorporate into RBAP.

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			2015.	
14	Regional Contracting 2011	<p>Requirements Definition</p> <p>It is recommended that the Director General, Administration Directorate, introduce measures that will ensure that work requirements are defined and documented prior to the start of the contracting process.</p>	<p>Further to the September 2012 update, the Monitoring and Compliance Program will be implemented in June 2013 following indeterminate staffing action. The implementation has been delayed due to difficulties and delays in obtaining staffing approvals.</p> <p>The Contracting policy suite was approved at Executive Committee in November 2012 and was issued December 14, 2012.</p>	<p>Rec#10, is about defining and documenting work requirements before the start of a contracting process.</p> <p>Mgmt S-A at L4.</p> <p>4 By next update this will be fully implemented. We think it's <u>okay</u>.</p>
14	Regional Contracting 2011	<p>Procurement</p> <p>It is recommended that the Director General, Administration Directorate, introduce measures to enforce compliance with the issues noted above.</p>	<p>The Contracting policy suite was approved at Executive Committee in November 2012 and was issued December 14, 2012. The Guidelines for Managing Services Contracts are currently in consultation and should be promulgated by June 15, 2013.</p> <p>The Monitoring and Compliance Program will be implemented in June 2013 following indeterminate staffing action. The implementation has been delayed due to difficulties and delays in obtaining staffing approvals.</p> <p>Bids have been evaluated for the court reporter / transcription requirements in British Columbia and agreements will be awarded in April 2013. As well, The requests for standing offers (RFSOs) for court reporters/transcription were posted in March for Manitoba, Saskatchewan and Alberta. A RFSO for processes servers in Ontario was also posted.</p> <p>All the standing offers for process servers and for court reporting/transcription should be issued by December 2013.</p>	<p>Rec #11 is about introducing measures in compliance with contracting policies and departmental processes and directives.</p> <p>Mgmt S-A at L4.</p> <p>And they anticipate completion in Dec 2013. Again, they are awaiting the full implementation of the Monitoring and Compliance Program first. And that's <u>okay</u>.</p> <p>4</p> <p>OK (At Close, Level 5, we should request to see an example (Steps) of how enforcement is done.</p>

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14	<u>Regional Contracting 2011</u>	<u>Solicitation Activities</u> It is recommended that the Director General, Administration Directorate, establish measures to enforce that contracting files demonstrate that solicitation activities and decisions have been conducted in a transparent manner.	Most of the key components were previously completed, as outlined in the September 2012 update. The Monitoring and Compliance Program will be implemented in June 2013 following indeterminate staffing action. The implementation has been delayed due to difficulties and delays in obtaining staffing approvals. The Contracting policy suite was approved at Executive Committee in November 2012 and was issued December 14, 2012.	Rec #12 is about ensuring transparency in soliciting and awarding contracts. S-A @ L4, and anticipate full implem. By next update and refer to staffing delays. 4 This response is <u>okay</u> .
15	<u>TLS Ottawa a 2011</u>	<u>Human Resource Planning</u> It is recommended that the Director, TLS – Ottawa Section ensure that a formal TLS succession plan is developed and updated on a regular basis.	The analysis of the gap and the development of a formal TLS succession plan for each office continue to be delayed. The delay is due to TLS budget reductions and commitments under the Economic Action Plan 2012, with full implementation of the Portfolio initiatives expected by March 31, 2015. During this period, the TLS is continuing to review with the CRA client the various levels of services needed, and all TLS Sections will continue to participate in department-wide reductions in the number of its employees. In addition, the Portfolio has delayed developing its national succession plan in order to be aligned with a new departmental initiative to standardize the succession planning process department-wide. In the interim, the Portfolio will discuss any critical gaps at National Tax Board of Directors meetings and continue to take appropriate actions for TLS Sections on a nationally coordinated basis.	For Tab 15, TLS Ottawa, Rec#2 is about forming a succession plan. Mgmt S-A's at [1]. And, in fact, the environment has completely changed since the 2012 budget and this is having an impact on the client department. Therefore we can <u>agree</u> with the response that they can't currently prepare a forward looking plan. 1
16	<u>TLS Prairie e 2011</u>	<u>Administration of Financial Resources</u> It is recommended that the Regional Director, TLS – Prairie Region, in conjunction with the Information Management Branch, ensure that administrative assistants are given the capability to view IFMS reports from their workstations.	The Administrative Assistants have been provided with access to IFMS reports and have received the necessary training.	Tab 16 TLS Prairie, rec #3, is to <i>ensure administrative assistants are given the capability to view IFMS reports from their workstation</i> . Mgmt S-A at L5, admins were given the access and necessary training, and we are <u>okay</u> with this response. 5

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17	1	<u>Acquisition Cards 2012 follow-up</u>	<p><u>Acquisition Card Payment Discounts</u></p> <p>It is recommended that the CFO implement in IFMS the ability to pay the card provider with a single payment.</p> <p>Justice is now a pilot department for the PWGSC IFMS Program Office (IFMS Core) procure to payment solution / footprint for all federal government departments using SAP.</p> <p>Justice will be involved in all the steps of the pilot process, including the building, testing, integration, and roll-out steps. This will facilitate a robust knowledge transfer as the departmental subject matter experts (SMEs) will work collaboratively with the IFMS Program Office throughout the pilot process.</p> <p>The timeline for the implementation of the procure to payment solution is government wide and is now estimated to be by the end of fiscal year 2014-2015.</p>	<p>For tab 17, Acq Cards, rec #1 requires the CFO <i>to implement in IFMS the ability to pay the card provider with a single payment.</i></p> <p>Mgmt S-A at L3, suggesting that it will be completed by end of next Fiscal Year, March 2015.</p> <p>3 <i>We don't anticipate progress</i> until 2014-15 because it is tied to IFMS Core as well as the Procure to Payment Solution that is being implemented government wide.</p> <p>Therefore, we <u>agree</u> with response.</p>
18	1	<u>Official Languages</u>	<p><u>Roles, Responsibilities and Accountabilities</u></p> <p>It is recommended that the Director General, Human Resources and Professional Development Directorate undertake additional efforts to communicate the distinctive official languages-related roles, responsibilities and accountabilities of the Corporate Staffing, Official Languages and Recognition Unit in relation to those of the other areas within the Department (i.e. the Office of La Francophonie, Justice in Official Languages and Legal Dualism; and the Official Languages Law Section.)</p> <p>All the proposed actions have been implemented as described and within the allocated timeframes detailed in the Management Response table (see attached). Changes to the OL portion of the Department's Intranet site were made in the summer of 2012 to clarify roles and responsibilities. Further updates were made in November, 2012 to align departmental policies with revised TBS policies. These were communicated in JustInfo in March of this year.</p> <p>Awareness continues to be raised through attendance at management team meetings on an ad hoc basis and other methods, e.g. an email sent on June 22, 2012 on official languages requesting that managers in the Management Sector allocate time at an upcoming team meeting to review with their employees a deck on official languages.</p>	<p>Tab 18, OL - This recommendation is to better communicate the distinctive roles and resps across the dept within OL.</p> <p>Mgmt S-A at L5.</p> <p>We <u>agree</u>: we gathered evidence from the intranet, e-mails, meeting invites, justInfo etc.</p> <p>5</p>
18	2	<u>Official Languages</u>	<p><u>Mechanism to Share Issues Internally</u></p> <p>It is recommended that the Director General, Human Resources and Professional Development Directorate formalize and communicate an internal process to ensure that issues (e.g. number of complaints, trends) arising from complaints received through the Office of the Commissioner of</p> <p>Since the audit, the Senior OL Advisor has established and maintains a direct link with the new OL Champion and also with the new Co-Champion who chairs the OL Sectoral Champions Network.</p> <p>At the April 10th meeting the group discussed the committee's mandate as well as the possible creation of a departmental OL Web Portal which would combine, into one site, the revamped Corporate OL Intranet site as well as the sites from the Office of La Francophonie, Justice in OL and Legal Dualism and the OL Law Section. The creation of the Portal may be delayed because of a review and update to the Intranet structure as a whole. Regardless, work on the Portal will continue and structural revisions made as needed.</p>	<p>Rec #2 is about ensuring that the mechanism to receive the issues or complaints is formalized, in place, and communicated to the Network of Sectoral Regional Official Languages Champions.</p> <p>Mgmt S-A at L5. We have evidence that the mechanism that the mechanism is formalized and in place... but has the mechanism received any of these complaints..? We reviewed the agenda and there is nothing about complaints. This brings us to another question: were there any complaints in the 1st place...?</p> <p>5</p> <p>In any case, we recommend "<u>close</u>".</p>

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		Official Languages, are brought to the attention of the Network of Sectoral and Regional Official Languages Champions.		Obtained a copy of the mandate of the group and see if this is a forum. Mandate should include - TOR - Who is on it (Check membership) (Jo-Anne Brisebois needs regional representation and mandate needs to include the number of complaints / trends. Before going to J-A.B. ask L. Décarie.)
18	3 <u>Official Languages</u>	Resources It is recommended that the Director General, Human Resources and Professional Development Directorate formally review the current organizational structure of the Corporate Staffing, Official Languages and Recognition Unit in light of current requirements and expected level of service to ensure that resources have been allocated appropriately.	Classification of the Senior OL Advisor position to an AS-05 group and level, as referenced above, lead to the appointment of a seasoned OL Advisor. This has led to the effective management of the parts of the OL Program that fall under the HR Directorate's responsibility. Changes to internal services and other factors have made the dedication of resources to support the OL Advisor a challenge.	Rec #3 requires the DG of HRPDD to undertake a review of the org structure in light of their responsibilities regarding OL. Mgmt S-A as L4, with full implementation expected for by Sept 2013. They mention they are affected by the effects of DRAP / Mod Strategy. 4 We're <u>okay</u> with this. In fact we have a note to self, to see with you if you want to actually <u>close</u> off this recommendation.
19 *	<u>Legislative Services</u>	Resource Utilization It is recommended that the Chief Legislative Counsel, Legislative Services Branch (LSB) introduce a formalized process for resource planning and monitoring on a project basis.	We have hired a consulting firm to review and analyze past legislative files. The consulting firm conducted interviews of all the key personnel involved in the drafting process to understand the current practices in legislative projects. They found that LSB is only one player in a broader legislative development process, and that external issues have a major influence on the ability of LSB to deliver on project objectives. Based on these interviews and the examination of our existing practices, they developed principles for project management, tailored for legislative projects. Although they recognized that many of these principles were already practiced at LSB, they felt that there were opportunities for standardizing and improving our project management tools. The consulting firm provided a detailed description of the characteristics of the project management tools that LSB could implement within legislative projects. In the upcoming months, LSB will continue to work with the consulting firm to improve our existing project management tools and create new ones. Once the tools have been fully developed, we will run pilot projects to test them. At the conclusion of the pilot period, we will review and assess them, and then seek to apply them more broadly.	Tab 19 – LSB 2012 (5 months since update) Rec is about the Chief Leg Counsel <i>introducing a formalised formalized process for resource planning and monitoring on a project basis.</i> Mgmt S-A at L4. We're <u>okay</u> with it. 4

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n/a	1	BCRO	Organization It is recommended that the Regional Director General, British Columbia Regional Office ensure that the roles and responsibilities of paralegals within the BCRO BRLP are reviewed, clarified and communicated.		n/a	OK
n/a	2	BCRO	Controlling It is recommended that the Regional Director General, British Columbia Regional Office ensure that existing administrative duties are reviewed with a goal of streamlining processes to become more efficient.		n/a	OK
20	3.	OAG 80	Internal Audit Departments that have not had an external quality assessment should have an assessment conducted as required by the International Standards for the Professional Practice of Internal Auditing and the Treasury Board Policy on Internal Audit.	Practice Inspection completed July 2012. The Practice Inspection report was presented to DAC in July 2012.	5	OK - IAB

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21	5.6 2 - 1	OAG	<u>Managing the Delivery of Legal Services to Government – Department of Justice Canada</u> Justice Canada should develop a quality management system or systems for each of its practices to provide senior management with ongoing and reliable assurance that all services meet established minimum quality standard	QAF was fully endorsed by Management Committee on March 7, 2013 and by Executive Committee on March 27, 2013. A QAF is now in place at Justice for the provision of high quality legal services to the Government. The Management Sector considers this recommendation completed.	Rec, 5.62-1 in conjunction with 5.62-2, are both about <u>A Quality Management System</u> . 1- is about the overarching QAF 2- is about the initiative to renew the Legal Risk Management. 5.62-1 – Mgmt S-A at L5, with the QAF having been presented to E.C and M.C in March 2013
21	5.6 2 - 2	OAG	<u>Managing the Delivery of Legal Services to Government – Department of Justice Canada</u> Justice Canada should develop a quality management system or systems for each of its practices to provide senior management with ongoing and reliable assurance that all services meet established minimum quality standard.	Roll-out of LRM Renewal is now under way, including national training of counsel and paralegals. This activity is consequently considered completed for the purposes of this audit.	2-LRM Renewal With LRM also assessed as fully implemented with the renewal training including both counsel and paralegals being underway. 5 We agree – close.
22	5.2 5 - 2	OAG	<u>Managing the Delivery of Legal Services to Government – Department of Justice Canada</u> In addition to its current management of alternative dispute resolution initiatives, Justice Canada should ensure that it clearly defines each initiative's objectives, estimates the potential cost savings and formally reviews the outcome of initiatives against their objectives	At the time of the audit, strategies examined by the OAG related to a DR Fund which had been approved by Treasury Board. The DR Fund is no longer in place. This recommendation is therefore considered obsolete.	OAG Rec is about clearly <u>defining each initiative objectives</u> in relation to the management of alternative dispute resolution initiative. Mgmt S-A as Obs and Nick can speak to it. But essentially we agree with Obs. Ob sol ete Nick -

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23	5.9 3	<u>OAG</u>	<u>Managing the Delivery of Legal Services to Government – Department of Justice Canada</u>	<p>Since the 2007 OAG Audit on Managing the Delivery of Legal Services to Government, Justice Canada has notably improved its resource management practices.</p> <ul style="list-style-type: none"> • An enhanced suite of tools, processes and standards are enabling the Department to: <ul style="list-style-type: none"> - use management information on workload volumes and costs to better monitor trends, plan, set priorities, manage resources, analyze service delivery options and identify opportunities for controlling legal services costs; and - work with client organizations to effectively plan, manage, and improve the cost effectiveness of legal services. • In 2009-2010, Justice introduced standard templates for Memoranda of Understanding (MOU) with client organizations for the provision of legal services. MOUs support transparent and accountable resource management and enable departments and agencies to effectively plan, monitor and manage their demand for legal services. In August 2012, following the introduction of new business standards related to cost recovery, the Department updated the MOU templates. In January 2013, the Department also updated a key supporting guidance documents that promotes quality and consistency in the development and implementation of MOUs (i.e., the Accountability Framework for MOUs Related to the Provision of Legal Services) to reflect the new business standards, roles, responsibilities and processes for cost recovery, and to highlight the importance of joint planning discussions. The Department also developed a revised template for the Planning and Forecasting Annex (entitled Annex B) of the MOU for implementation in 2013-14. The new Annex B template includes an attestation statement to be signed by both the Justice and client Contacts for the Management the MOU confirming that the forecast presented in the MOU reflects the results of joint planning discussions between Justice and the client organization, including consideration of options for controlling legal services costs. • The development of forecasting tools and enhanced reporting capabilities on the cost of legal services implemented through the Cost Recovery Process Improvement Project, have strengthened the collective ability of Justice and its client organizations to make informed decisions about legal services requirements and associated costs. • Justice's legal case management application (iCase) and Echo (a companion reporting tool that complements the reporting capabilities of iCase) continue to be used to support corporate reporting needs and to assist Justice managers and client departments in effectively planning, setting priorities, managing resources and managing the demand for legal services. For the past two years, the Department used Echo to generate historical information on level of effort and file inventory data that, together with historical information on cost recoveries, supported joint planning discussions between Justice and 	<p>This rec is worth reading because it may contradict the Audit of iCase timekeeping Compliance since we said that no one is actually monitoring and using iCase as a corporate resource.</p>
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client organizations. In 2012-2013, information derived from Echo (and other sources) also provided key input to the development of efficiency measures that focus on managing the demand and cost of legal services and will support the Department in meeting commitments set out in the Government's 2012 Economic Action Plan. Access to Echo was extended and is now being used by financial and business analysts across the Department.

- In December 2012, the Department also commenced a phased implementation of a Legal Services Management Dashboard. The dashboard provides managers with quick and easy access to key legal case management information to support decision making right from their desktop. The various reports presented in the Dashboard help managers to: identify and assess trends; plan, monitor and report on key business activities; manage resources and continuously improve their operations by highlighting areas that may warrant further attention; engage in joint planning discussions with client organizations; and identify options for controlling legal services costs.

Guidance material is available to support users in navigating through the various dashboard reports and interpreting information contained therein. In November 2012, an Advisory Committee was established to guide future enhancements to the information presented in the dashboard with a view to expanding the dashboard to include information from other domains (e.g., HR, Finance).

- Business process models developed in 2010-2011, outlining activities related to the management and delivery of legal services are available to support managers and business analysts in identifying business requirements and opportunities for process improvements.

- The Business Practices Division reports on timekeeping compliance to executive management. Timekeeping information supports planning and forecasting, resource management, cost recovery, trend analysis and reporting on results. Regular timekeeping reports help senior management understand the evolution and scope of Justice's activities over time, measured in effort, as well as the level of quality and completeness of timekeeping information for each direct report. Internal Audit is also finalizing an audit on timekeeping compliance which will identify opportunities for continuous improvement in existing practices and management controls.

- Consistent and well-documented business processes, tools and standards are in place to facilitate client engagement, enhance transparency and accountability and help ensure a uniform approach to managing and reporting on the provision of legal services. In 2012-2013, Justice complied an evergreen list of relevant business processes, tools and standards currently available to support informed decision making by client organizations about their legal services requirements and associated costs, including: guidance material, business standards and related communications developed as part of

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			<p>the Cost Recovery Process Improvement (CRPI) Project; the Budget Management Framework i.e., a formal document that provides context, standards and directions for budget management activities within Justice; a communications strategy and material related to announcements on the legal services rates; Treasury Board (TB) submission protocols (including the Week Ahead Report which lists all client led TB subs); and templates and guidance material related to MOUs for the provision of legal services. The list will be updated as additional processes, tools and standards are introduced in support of continuous improvement.</p> <p>The Department established the Management Sector in August 2007 and assigned responsibility for implementing the changes recommended by the OAG with respect to law practice management to the ADM, Management Sector. In May 2012, with much of the work in relation to the 2007 OAG Audit completed, some of the work done in the Law Practice Management Directorate (LPMO) within the Management Sector was realigned with other units in the Department and other Divisions within the Sector. The resultant organization, while smaller, continues to provide essential services in relation to our national law practice. The Management Sector makes recommendations to senior management through the Department's governance structure and continues to work in collaboration with various working groups and advisory committees to advance key initiatives related to the management of the practice of law.</p>	
24	1	OCG	<p>Evaluation of Legal Services Common Services Organizations (CSO's) should develop practices to measure cost-effectiveness and report on this information to key stakeholders.</p> <p>The evaluation methodology has been developed and evaluations are underway in accordance with the timelines indicated below. The evaluation of legal services is now part of the ongoing evaluation plan for the Department. The Management Sector considers this recommendation addressed and ongoing.</p> <p>Ongoing and planned evaluations of legal services measure economy and efficiency of the delivery legal services.</p> <ol style="list-style-type: none"> 1) Tax Law Services (April 2013) 2) Public Law (June 2013) 3) Legislative Services (June 2013) 4) Aboriginal Affairs Portfolio (Project initiated; anticipated completion in March 2014) 5) Litigation (Planning completed; expected completion December 2014) 6) PSDI Portfolio (Planning completed; expected completion December 2014) 7) Business and Regulatory Law Portfolio (Planning completed; expected completion September 2015) 8) Central Agencies Portfolio (Planning nearly completed; expected completion March 2016) 	<p>This OCG Audit is about <i>developing practices to measure cost-effectiveness and report on this information</i> to our clients. It is divided into Action Plan I and II.</p> <p>I – Has the key coverage of all legal operation areas. Mgmt S-A at L4 with full impl in 2016. It's okay.</p> <p>4</p>

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28	2	<u>OCG</u>	<p>Common Services Organizations (CSO's) should develop practices to measure cost-effectiveness and report on this information to key stakeholders</p> <p>II a) Consistent and well-documented business processes, tools and standards facilitate client engagement, enhance transparency and accountability and help ensure a uniform approach to managing and reporting on-the provision of legal services. Justice has developed an evergreen list of relevant business processes, tools and standards currently available to support informed decision making by client organizations about their legal services requirements and associated costs, including: guidance material, business standards and related communications developed as part of the Cost Recovery Process Improvement (CRPI) Project; the Budget Management Framework i.e., a formal document that provides context, standards and directions for budget management activities within Justice; a communications strategy and material related to announcements on the legal services rates; TB submission protocols (including the Week Ahead Report which lists all client led TB subs); and templates and guidance material related to MOUs for the provision of legal services, including an updated Accountability Framework for Memoranda of Understanding Related to the Provision of Legal Services. The list will be updated as additional processes, tools and standards are introduced in support of continuous improvement, including the development of an overarching Net Vote Revenue Framework encompassing a policy, directives and guidelines as well as standard practices and tools that would enable better planning and monitoring of the costs of processing, reviewing and presenting documentary evidence in litigation.</p> <p>II b) Developed a list of <u>best practices</u> with clear linkages to cost effectiveness. In March 2013, the list was shared on the Senior Level Executive sharepoint site for the information of managers. It will serve as a guidance document for managers to inform discussions with their client departments on options for better managing the demand and costs of legal services. Many of the items set out in this list align with efficiency measures identified as part of the Process Optimization commitment under the Modernization Strategy. It is understood that the list will evolve as the Department works through the implementation of the Process Optimization measures and if new measures are identified, they will be added.</p> <p>II c) Strengthened guidance provided in the Integrated Business Planning process and the Accountability Framework for MOUs Related to the Provision of Legal Services regarding factors to consider and the overall approach for joint planning discussions with clients. Integrated revenue forecasting for individual client organizations into the Department's Integrated Business Planning process. Revenue forecasts are updated quarterly throughout the year. Introduced a revised template for the Planning and Forecasting Annex</p>	<p>II –</p> <p>a) S-A L5 for client engagements b) Best practices on cost linkages distributed. Verified c) Rec about legal services cost – L5, we have evidence</p> <p>II Identification of cost effectiveness measures and processes for reporting a) Implement business processes, tools and standards to support informed decision making by client organizations about their legal services requirements and associated costs II b) Develop a list of best practices that would contribute to cost savings for consideration by Justice managers and discussion with client organizations II c) Formalize the practice of documenting the identification and consideration of options available to client organizations for controlling their legal services costs</p> <p>5</p>
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			(entitled Annex B) of the MOU template to include the following attestation statement to be signed by both the Justice and client Contacts for the Management the MOU: "The total forecast presented above reflects the results of joint planning discussions between Justice and [client organization], including consideration of options for controlling legal services costs."	
28	2 <u>OCG</u>	Common Services Organizations (CSO's) should develop practices to measure cost-effectiveness and report on this information to key stakeholders	<p>As part of the Client Feedback Survey Review, completed consultations with heads of Portfolios and specialized legal services offices regarding the inclusion of the proposed question related to controlling the cost of legal services in January 2013.</p> <p>The proposed question was tested with client department focus groups in early March.</p> <p>A recommendation on the inclusion of the proposed question in the Client Feedback Survey will be presented to Senior Management in May/June 2013 for decision.</p> <p>II e) Efficiency measures for reporting on the provision of legal services in the DPR are being developed and will draw on measures identified through the Department's Process Optimization Initiative and other initiatives, where appropriate.</p> <p>Efficiency indicators will be identified in the Department's Performance Measurement Framework (PMF) that will be submitted to TBS in October 2013, as part of the Management Resources and Results Structures (MRRS) update for 2014-2015.</p> <p>Efficiency indicators will be implemented and tested internally in 2013-2014, and revised if necessary. The Department will begin reporting on efficiency indicators to Parliament and the public in the 2015-2016 DPR.</p>	<p>d) Rec, L2, Still in implementation phase Nick can vouch for this</p> <p>e) Rec, L2, NF</p> <p>The Department of Justice accepts this recommendation.</p> <p>II d) Through the Client Feedback Survey, measure and report on client satisfaction with the extent to which they have been provided with options for controlling their legal services costs</p> <p>II e) Identify measures of cost effectiveness that would be reported on in the Departmental Performance Report (DPR)</p>

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29	1	<u>PSC</u>	1. The deputy head of Justice Canada should establish and implement a control mechanism on the management and monitoring of sub-delegated authority to ensure that letters of offer are signed by managers to whom the authority had been sub-delegated.	All actions identified in the departmental Action Plan to address audit findings were completed with the exception of the full implementation of the Staffing Monitoring Framework (SMF). To fully implement the SMF, the remaining element to complete pertains to the completion of an internal appointment review exercise by Human Resources and Professional Development Directorate (HRPDD) The review exercise concluded at the end of February, 2013. The final report regarding the findings of the review was submitted to the attention of the D.G, HRPDD and it is intended that the monitored results will be reported to senior management by end of May, 2013. Subsequently, the Public Service Commission will be notified of its completion for DSAR assessment purposes and provided with a copy of the results stemming from the review exercise and a copy of the communication material that was provided to senior management regarding the findings.	4	OK – L4 no need for further evidence
30	2	<u>PSC</u>	2. The deputy head of Justice Canada should ensure that Justice Canada fully implements its staffing monitoring framework. This includes ensuring that appointment processes and related decisions are fully documented and compliant with legislative, regulatory and policy requirements. Monitored results should be reported to senior management for necessary actions, as needed.	All actions identified in the departmental Action Plan to address audit findings were completed with the exception of the full implementation of the Staffing Monitoring Framework (SMF). To fully implement the SMF, the remaining element to complete pertains to the completion of an internal appointment review exercise by Human Resources and Professional Development Directorate (HRPDD) The review exercise concluded at the end of February, 2013. The final report regarding the findings of the review was submitted to the attention of the D.G, HRPDD and it is intended that the monitored results will be reported to senior management by end of May, 2013. Subsequently, the Public Service Commission will be notified of its completion for DSAR assessment purposes and provided with a copy of the results stemming from the review exercise and a copy of the communication material that was provided to senior management regarding the findings.	4	OK– L4 no need for further evidence

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: REPORT OF THE AUDITOR GENERAL OF CANADA 2007

OAG Audit Recommendation # 5.25 - 2
Report 2007-05 – Chapter 5

Risk Ranking:

Managing the Delivery of Legal Services to Government – Department of Justice Canada

In addition to its current management of alternative dispute resolution initiatives, Justice Canada should ensure that it clearly defines each initiative's objectives, estimates the potential cost savings and formally reviews the outcome of initiatives against their objectives

Management Response and Action Plan

The Department agrees with the Auditor General's recommendation, which is consistent with the recent review of the Department's dispute resolution initiative that has resulted in a new mandate focused on providing services to departments supporting long-term prevention and early resolution of disputes. These client-focused services include systems design, legal advisory support, and training, all of which are linked to the departmental priorities of improving practice management and managing the volume of litigation.

Last Update (June 2012)

2. Development of Performance Measurement Tools for Dispute Resolution Initiatives

In 2011-2012, the Department of Justice continued to advance its multi-year project aimed at developing performance measurement tools for DR initiatives.

A draft Performance Measurement Framework (PMF) was developed in June 2011. The PMF contains a number of elements aimed at ensuring that Justice has systems in place for regular reporting on DR, ongoing and methodologically sound analysis of the value of DR, and information to support operational decision-making on DR in the management of the litigation inventory. In addition, the framework aims to ensure that client departments will have support and advice from Justice in the use of performance measurement in their own DR programs and initiatives.

The following key elements of the PMF were developed in fiscal year 2011-2012:

- A preliminary methodology for quantifying and understanding the impact of various DR mechanisms;
- Tools to capture the impact of training and knowledge transfer; and
- A draft Guide to Performance Measurement in DR initiatives. (The Guide will be finalized and launched in 2012-2013.)

Several different initiatives are underway to support the development of a DPR performance management regime.

At the request of AMREC, timelines and deliverables were re-examined with the objective of accelerating the work to respond to the Auditor General's specific recommendation. A new work plan is being developed for approval by the end of July. Consideration on future priorities will be re-examined in the context of the Economic Action Plan 2012.

Assessment Level: Level 3 - Preparations for implementation

Update:

<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input checked="" type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

Current Status as at March 31, 2013 (please provide details on progress against the management action plan):

Coordinator Name:	Jo-Anne Brisebois	Tel#:	(613) 957-4220
OPI:	Patrick Vézina	Tel#:	(613) 957-4670
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At the time of the audit, strategies examined by the OAG related to a DR Fund which had been approved by Treasury Board. The DR Fund is no longer in place. This recommendation is therefore considered obsolete.

Estimated Date of Completion:

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MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: REPORT OF THE AUDITOR GENERAL OF CANADA 2007

**OAG Audit Recommendation # 5.62 - 1
Report 2007-05 – Chapter 5**

Risk Ranking:

Managing the Delivery of Legal Services to Government – Department of Justice Canada

Justice Canada should develop a quality management system or systems for each of its practices to provide senior management with ongoing and reliable assurance that all services meet established minimum quality standard.

Management Response and Action Plan

The Department agrees with the Auditor General's recommendation and will build on the elements of its quality work recognized by the Office of the Auditor General with a view to having a sound quality management approach.

Last Update (June 2012)

1. Quality Assurance Framework (QAF)

The Department's QAF initiative encompasses three parts, each composed of unique underlying pillars:

- Part 1 provides contextual information (e.g., the types of legal services delivered, and the Department's service delivery structure and roles and responsibilities) and a definition of "quality" legal services and related quality service standards;
- Part 2 provides a detailed inventory of quality assurance tools and processes currently in place across the Department to meet the quality service standards; and
- Part 3 will identify quality assurance indicators and will establish an appropriate governance strategy (including functional authority, reporting and continuous improvement), communications plan and implementation plan.

Revisions to the QAF were made pursuant to a comprehensive research paper prepared in 2011 that provided globally accepted definitions and practices from the International Organization for Standards (ISO) and precedents from international, federal, provincial and other government institutions, non-government organizations and legal services providers. Findings from this research paper and further feedback from members of the Justice Quality Assurance Working Group and other internal stakeholders were reflected in revisions to the format and content of Parts 1 and 2 of the QAF and informed work underway on Part 3. (The Working Group has had six meetings so far.)

Recommendations regarding the underlying pillars of the QAF will be considered by senior management in summer 2012. The complete QAF is expected to be presented to senior management by the end of 2012. Roll-out of the QAF is expected to commence in early 2013.

Assessment 2102: Level 3 - Preparations for implementation

Update:

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<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

Current Status as at March 31, 2013 (please provide details on progress against the management action plan):

QAF was fully endorsed by Management Committee on March 7, 2013 and by Executive Committee on March 27, 2013. A QAF is now in place at Justice for the provision of high quality legal services to the Government. The Management Sector considers this recommendation completed.

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Last Update (June 2012)

2. Legal Risk Management (LRM)

The main goal of the LRM Renewal initiative is to improve Legal Risk Management (LRM) through a harmonized application of the LRM system across all Justice sectors of activity (i.e., litigation, advisory and legislative) by providing standardized LRM tools, communications and practices that support counsel and clients.

The Department completed Phase I of the LRM Renewal initiative. Based on the results of extensive national consultations and pilot projects, recommendations in support of an improved and comprehensive LRM process, including the introduction of a new LRM Grid and Impact Table were presented to and approved by senior management on March 7, 2012.

Work in the context of Phase II of the LRM Renewal initiative started in May 2012 and essentially focuses on the elaboration of reference documents pertaining to communication of legal risks and on LRM roles and responsibilities, as well as on the elaboration of a new governance framework for LRM. Recommendations flowing from Phase II will be presented to senior management in October 2012.

The launch of the new revamped LRM Framework will commence in December 2012 and its implementation will take place from January to March 2012.

Assessment Level: Level 4 - Substantial implementation

Update:

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Current Status as at March 31, 2013 (please provide details on progress against the management action plan):

Roll-out of LRM Renewal is now under way, including national training of counsel and paralegals. This activity is consequently considered completed for the purposes of this audit.

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Assessment 2102: Level 3 - Preparations for implementation

Update:

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2. Legal Risk Management (LRM)

The main goal of the LRM Renewal initiative is to improve Legal Risk Management (LRM) through a harmonized application of the LRM system across all Justice sectors of activity (i.e., litigation, advisory and legislative) by providing standardized LRM tools, communications and practices that support counsel and clients.

The Department completed Phase I of the LRM Renewal initiative. Based on the results of extensive national consultations and pilot projects, recommendations in support of an improved and comprehensive LRM process, including the introduction of a new LRM Grid and Impact Table were presented to and approved by senior management on March 7, 2012.

Work in the context of Phase II of the LRM Renewal initiative started in May 2012 and essentially focuses on the elaboration of reference documents pertaining to communication of legal risks and on LRM roles and responsibilities, as well as on the elaboration of a new governance framework for LRM. Recommendations flowing from Phase II will be presented to senior management in October 2012.

The launch of the new revamped LRM Framework will commence in December 2012 and its implementation will take place from January to March 2012.

Assessment Level: Level 4 - Substantial implementation

Update:

<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

Current Status as at March 31, 2013 (please provide details on progress against the management action plan):

Coordinator Name:	Jo-Anne Brisebois	Tel#:	(613) 957-4220
OPI:	Patrick Vézina	Tel#:	(613) 957-4670
Also sent to:			

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: REPORT OF THE AUDITOR GENERAL OF CANADA 2007

Estimated Date of Completion:

Coordinator Name:	Jo-Anne Brisebois	Tel#:	(613) 957-4220
OPI:	Patrick Vézina	Tel#:	(613) 957-4670
Also sent to:			

SERVING CANADIANS



Management Action Plan (MAP) Follow-Up Exercise Spring 2013

Audit Management Response and Evaluation Committee
June 25, 2013

Departmental Audit Committee
July 9, 2013



Department of Justice
Canada

Ministère de la Justice
Canada

Canada

Management Action Plan (MAP)
Follow-Up Exercise
Spring 2013

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1	<u>Integrated Financial and Material Systems (IFMS)</u>	February 2007	1	0
2	<u>Material Management</u>	June 2007	1	0
3	<u>Family Law Assistance Services (Family Orders and Agreements Enforcement Assistance & Central Registry of Divorce Proceedings)</u>	November 2007	6	6
4	<u>Ontario Regional Office (Finance and Administration Directorate)</u>	August 2008	2	0
5	<u>Programs Branch Audit</u>	September 2008	1	1
6	<u>Salary Management System</u>	July 2009	2	1
7	<u>Immigration Law – Regional Offices</u>	November 2009	1	1
8	<u>Budgetary Allocation and Forecasting</u>	July 2010	1	0
9	<u>Cost Recovery Framework</u>	July 2010	2	0
10	<u>PeopleSoft HR Management System</u>	March 2011	5	1
11	<u>LEGAL AGENT ACCOUNT VERIFICATION PROCESS (LAAV)</u>	April 2011	2	0
12	<u>Staffing/Resourcing Function</u>	June 2011	1	0
13	<u>Canada Border Services Agency Legal Services Unit</u>	August 2011	2	1
14	<u>Regional Contracting</u>	August 2011	8	1
15	<u>Tax Law Services Ottawa Section</u>	July 2011	1	0
16	<u>Tax Law Services Prairie Region</u>	July 2011	1	1
17	<u>Acquisition Cards</u>	March 2012	1	0
18	<u>Official Languages</u>	March 2012	3	2
19	<u>Legislative Services</u>	October 2012	1	0
	Total		42	15

Tab	External Audits	Audit Date	# of MAPs Outstanding for the Spring 2013 Exercise	# of MAPs to be Closed in Spring 2013 Exercise
20	<u>OAG</u>	2007	3	3
21	<u>OAG June 2011 Status Update</u>	2011	1	1
22	<u>OAG – Expenditure Control</u>	2009	2	0
23	<u>OAG</u>	2011	1	0
24	<u>PSC</u>	2012	2	0
	Total		9	4

***Note to Rahima:** If you update the numbers that are highlighted, you will also need to update the corresponding summary on the title page for that audit.

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Integrated Financial and Materiel System (IFMS) 2007

TAB 1: Integrated Financial and Material Systems (IFMS)

Summary:

Tab	Audit Name	Audit Date	MAPs Outstanding for the Spring 2013 Exercise	# of MAPs to be Closed in Spring 2013 Exercise
1	Integrated Financial and Material Systems (IFMS)	February 2007	1	0

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Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Integrated Financial and Materiel System (IFMS) 2007

Recommendation # 4 (IA Ref# 2007-207-4)	Risk Ranking: Low
Functional/Technical Support	
It is recommended that the Director General, Finance ensure that the IFMS help desk maintains statistics on the number and types of phone calls received from users.	

Management Response and Action Plan
Agree. Effective immediately, telephone calls received from IFMS users will be documented and tracked in the same manner as e-mail requests for assistance.

Last Update (September 2012)
Further to the March 2012 update, the "Procure-to-Payment at Justice Project" was officially launched in November 2012. Solution Manager will be implemented during the initial phase of the project, including the CHARM and Service Desk tools. CHARM is an integrated SAP change management tool. Service Desk is an integrated SAP tool which tracks Help Desk tickets and support provided to IFMS users. Implementation is slated for March 2013.
LEVEL 3 // Estimated Date of Completion: March 2013

Update:	
<input type="checkbox"/> Level 1 (No or Insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input checked="" type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
Current Status as at March 31, 2013 (please provide details on progress against the management action plan):	
The timeline for delivery and implementation of Solution Manager has been revised and is now planned for fiscal year 2013-2014. The CFO Branch does not have the in-house resources required to implement Solution Manager. Due to difficulties and delays in obtaining staffing approvals, the decision was made to use contract support. This has delayed the implementation timelines. Solution Manager will include Service Desk, which is an integrated SAP tool which tracks help desk tickets and support provided to IFMS users.	
Estimated Date of Completion:	
March 31, 2014	

CAE Assessment
Although this audit dates back to 2007, the CAE supports the extension of the deadline for implementation to March 2014 in light of the system-wide staffing delays stemming from Budget 2012.

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Materiel Management 2007

TAB 2: Material Management

Summary:

Tab	Audit Name	Audit Date	MAPs Outstanding for the Spring 2013 Exercise	# of MAPs to be Closed in Spring 2013 Exercise
2	<u>Material Management</u>	June 2007	1	0

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Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH
Audit Name: Materiel Management 2007**

Recommendation # 1 (IA Ref# 2007-263-1)	Risk Ranking: Medium
It is recommended that the Director General, Administration ensures that a materiel management policy as well as procedures and guidelines specific to the Department of Justice are developed, implemented, and promulgated.	

Management Response and Action Plan
Agree. Policies, procedures and guidelines will be developed, implemented and promulgated. Actions to be undertaken: <ul style="list-style-type: none"> • Extraction and verification of current policies, procedures and guidelines that are currently in place for the Department of Justice. • Extraction and verification of Treasury Board policies and guidelines (currently under revision at TBS). • Writing and editing of the department's materiel management policies, procedures and guidelines. • Consultations with stakeholders, consolidation of comments, distribution and publication on the Intranet of the policies, procedures and guidelines.

Last Update (September 2012)
Further to the March 2012 update, consultation on the draft policy instruments will start in December 2012, with approval targeted for May 2013. The Materiel Management function now reports to the Chief Financial Officer Branch.
LEVEL 3 // Estimated Date of Completion: May 2013
Update from March 2012: A draft materiel management policy had been prepared by a Consultant following the audit in 2007; however it was never adopted, implemented or promulgated at that time. This draft policy is being reviewed and updated and will be sent for consultation. The draft policy will be presented for consultation at the Advisory Committee on Contracting, Accommodation and Materiel Management (AC-CAMM) during the summer of 2012. The target date to have policy approved is December 2012. (60% complete)

Commented [DT1]: Added by CFOB to provide context to the September 2012 and March 2013 updates.

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input checked="" type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
Current Status as at March 31, 2013 (please provide details on progress against the management action plan):	
Further to the September 2012 update, the timelines have been extended. Due to difficulties and delays in obtaining staffing approvals, the decision was made to use contract support. This has delayed the implementation timelines. The policy suite will be sent for consultation in the summer 2013 and should be approved by the end of October 2013.	
Estimated Date of Completion:	
October 31, 2013	

CAE Assessment
Although this audit dates back to 2007, the CAE supports the extension of the deadline to October 2013 in light of the organizational changes stemming from Budget 2012.

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schoob	Tel#:	613-948-5117
Also sent to:			

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

**Audit Name: Family Law Assistance Services (Family Orders and Agreements
Enforcement Assistance & Central Registry of Divorce Proceedings) 2007**

**TAB 3: Family Law Assistance Services (Family Orders and Agreements Enforcement
Assistance & Central Registry of Divorce Proceedings)**

Summary:

Tab	Audit Name	Audit Date	MAPs Outstanding for the Spring 2013 Exercise	# of MAPs to be Closed in Spring 2013 Exercise
3	<u>Family Law Assistance Services (Family Orders and Agreements Enforcement Assistance & Central Registry of Divorce Proceedings)</u>	November 2007	6	6

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Coordinator Name:	Don Piragoff	Tel#:	(613) 957-4730
OPR:	Carole Millett	Tel#:	(613) 957-4518 / 613-957-4220
Also sent to:	Daniel Schnob 613-948-5117, Carla Sanipelli 613-941-7343; cc : Elissa Lief 957-1200		

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

**Audit Name: Family Law Assistance Services (Family Orders and Agreements
Enforcement Assistance & Central Registry of Divorce Proceedings) 2007**

Recommendation # 8a (IA Ref# 2007-120-8-a)	Risk Ranking: Medium
FLAS Management Framework Procedures, Documentation, & Training It is recommended that the Director, FLAS ensure that: <ul style="list-style-type: none"> a) Written procedures for the Financial Officer are revised to more clearly describe FOAEA procedures and to include CRDP financial procedures. 	

Management Response and Action Plan Agree. With the hiring of the financial officer, all financial procedures are 90 % complete and should be completed by May 31, 2008. The CRDP financial functions will be transferred to the financial officer who will be responsible to develop appropriate procedures. The transfer of responsibilities and written procedures should be complete by July 2008.
--

Last Update (September 2012) A consultant has been hired and has commenced the work to write the financial procedures for FOAEA. The work will be completed by the end of December, 2012. For CRDP, the draft financial procedures have been written. They will be finalized by the end of November 2012. LEVEL 4 // Estimated Date of Completion: Recommendation will be completed by end of December 2012

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input checked="" type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
Current Status as at March 31, 2013 (please provide details on progress against the management action plan): All financial procedures have now been documented.	
Estimated Date of Completion: Completed	

CAE Assessment The CAE, after consultations with the CFOB, supports that this recommendation be closed as fully implemented.
--

Coordinator Name:	Don Piragoff	Tel#:	(613) 957-4730
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**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

**Audit Name: Family Law Assistance Services (Family Orders and Agreements
Enforcement Assistance & Central Registry of Divorce Proceedings) 2007**

Recommendation # 16b (IA Ref# 2007-139-16-a)	Risk Ranking: Medium
Findings – Family Orders and Agreements Enforcement Assistance FOAEA Systems Management	
It is recommended that the Director, FLAS ensure that: b) IT Team procedures with regard to FOAEA system operations are documented.	

Management Response and Action Plan
Agree. Procedures are currently under review and will be complete by July 2008.

Last Update (September 2012)
A technical writer has been hired by the Information Management Branch, funded by the Policy Sector, to complete the work. The work will be completed by the end of this fiscal year.
LEVEL 4 // Estimated Date of Completion: March 31, 2013

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input checked="" type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

Current Status as at March 31, 2013 (please provide details on progress against the management action plan):
The FOAEA system operations' documentation was completed on March 31, 2013.
Estimated Date of Completion:
Completed

CAE Assessment
Internal Audit Branch received and reviewed the procedures manual and supports that this recommendation be closed as fully implemented.

Coordinator Name:	Don Piragoff	Tel#:	(613) 957-4730
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Also sent to:	Daniel Schnob 613-948-5117, Carla Sanipelli 613-941-7343; cc : Elissa Lieff 957-1200		

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

**Audit Name: Family Law Assistance Services (Family Orders and Agreements
Enforcement Assistance & Central Registry of Divorce Proceedings) 2007**

Recommendation # 22 (IA Ref# 2007-149-22)	Risk Ranking: Medium
Findings – Central Registry of Divorce Proceedings Interaction between the CRDP Unit and Finance It is recommended that the Director, FLAS ensure that: a) The IFMS and CRDP system data is reconciled on a quarterly basis. b) Variances are explained. c) Adequate records are maintained of the reconciliation actions taken.	

Management Response and Action Plan
Agree. The responsibility for the CRDP financial control system will be transferred to the financial officer who will ensure that recommended controls are put in place. This transfer of functions should be complete by July 2008 and all controls in place by September 2008.

Last Update (September 2012)
FLAS provides the CFOB with the required information on a quarterly basis and provides explanations for any variances. The CFOB works on the quarterly reconciliation. LEVEL 4 // Estimated Date of Completion: _____

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input checked="" type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
Current Status as at March 31, 2013 (please provide details on progress against the management action plan):	
FLAS will provide the CFOB with the required information on a quarterly basis starting fiscal year 2013-2014 and provide explanations for any variances. CFOB will provide quarterly reconciliation.	
Estimated Date of Completion:	
Completed	

CAE Assessment
The CAE supports that this recommendation be closed with the caveat that Preliminary Survey of Family Law Assistance Services (FLAS) 2014-15 will confirm that the reconciliation process is meeting the required standards.

Coordinator Name:	Don Piragoff	Tel#:	(613) 957-4730
OPT:	Carole Millett	Tel#:	(613) 957-4518 / 613-957-4220
Also sent to:	Daniel Schnob 613-948-5117, Carla Sanipelli 613-941-7343; cc : Elissa Lieff 957-1200		

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

**Audit Name: Family Law Assistance Services (Family Orders and Agreements
Enforcement Assistance & Central Registry of Divorce Proceedings) 2007**

Recommendation # 23d (IA Ref# 2007-153-23-d)	Risk Ranking: Medium
Findings – Central Registry of Divorce Proceedings CRDP System Management	
It is recommended that the Director, FLAS ensure that: d) System requirements are reviewed to meet appropriate financial controls.	

Management Response and Action Plan
Agree. This matter will be reviewed by the financial officer once the responsibility is transferred. Work should be completed by September 2008.

Last Update (September 2012)
CRDP Financial procedures have been drafted. To be finalized by the end of November. Audit trails in place record changes in fee. Invoices, payments and compensation now recorded in the system. Analysis of other system requirements for financial process ongoing, to be completed in 2013-14. LEVEL 4 // Estimated Date of Completion: 2013-14

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input checked="" type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
Current Status as at March 31, 2013 (please provide details on progress against the management action plan):	
Audit trails implemented in 2012-13 allow capture of any financial input/changes in the CRDP system. Invoicing and compensation records are kept in the system. The Director has ensured that the current system, audit capacity and procedures allow us to meet appropriate financial controls. After review, at this time, no further technical changes to the financial component of the CRDP system are warranted at this time.	
Estimated Date of Completion:	
Completed	

CAE Assessment
The CAE supports that this recommendation be closed with the caveat that Preliminary Survey of Family Law Assistance Services (FLAS) 2014-15 will confirm that system requirements meet appropriate financial controls.

Coordinator Name:	Don Piragoff	Tel#:	(613) 957-4730
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Also sent to:	Daniel Schnob 613-948-5117, Carla Sanipelli 613-941-7343; cc : Elissa Lief 957-1200		

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

**Audit Name: Family Law Assistance Services (Family Orders and Agreements
Enforcement Assistance & Central Registry of Divorce Proceedings) 2007**

Recommendation # 26a (IA Réf# 2007-161-26-a)	Risk Ranking: Medium
Findings – Findings – Central Registry of Divorce Proceedings MOUs	
It is recommended that the Director, FLAS ensure that: a) Discussions are undertaken with the provinces to encourage quarterly invoicing and, in the case of Saskatchewan, compliance with the MOU.	

Management Response and Action Plan	Risk Ranking:
Agree. Communication with the provinces will commence in July 2008, and it is anticipated that an agreement with all the provinces will be reached by September 2008.	

Last Update (September 2012)
Discussions have commenced with the PTs to encourage quarterly invoicing and compliance with the MOU in the case of Saskatchewan. Awaiting responses from PTs. See also response to 26(b).
LEVEL 4 // Estimated Date of Completion: March 31, 2013

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input checked="" type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

Current Status as at March 31, 2013 (please provide details on progress against the management action plan):
Discussions have been held with the provinces not currently under the quarterly invoicing regime (Quebec, NB, Yukon, NWT and Nunavut). At this point, none of their financial systems can accommodate such change of process. As of April 1, 2013, fees owed by Saskatchewan are charged on a quarterly basis in accordance with the MOU (full \$10.00 fee).
Estimated Date of Completion:
Completed

CAE Assessment
The CAE supports closing this recommendation. The Preliminary Survey of Family Law Assistance Services (FLAS) 2014-15, will confirm that Saskatchewan is in compliance with the memorandum of understanding.

Coordinator Name:	Don Piragoff	Tel#:	(613) 957-4730
OPI:	Carole Millett	Tel#:	(613) 957-4518 / 613-957-4220
Also sent to:	Daniel Schnob 613-948-5117, Carla Sanipelli 613-941-7343; cc : Elissa Lief 957-1200		

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

**Audit Name: Family Law Assistance Services (Family Orders and Agreements
Enforcement Assistance & Central Registry of Divorce Proceedings) 2007**

Recommendation # 26b (IA Ref# 2007-162-26-b)	Risk Ranking: Medium
Findings – Findings – Central Registry of Divorce Proceedings MOUs	
It is recommended that the Director, FLAS ensure that: b) MOUs are updated covering financial responsibilities and process requirements for CRDP fees and compensation.	

Management Response and Action Plan
Agree. This information will be communicated to the FPT working group currently working on the MOU.

Last Update (September 2012)
FPT MOA working group created, to start discussions for revised MOAs at the end of November. Completion date dependent on collaboration of PTs.
LEVEL 4 // Estimated Date of Completion: Dependent on collaboration and approval process within PTs. Negotiation process commenced. Estimated completion date 2014.

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input checked="" type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

Current Status as at March 31, 2013 (please provide details on progress against the management action plan):
There are two components to this recommendation. One component concerns the commitment by management to work with Provincial and Territorial officials to update the MOU, while the second component involves the processes of federal/provincial/territorial Ministers' approval and sign-off.
The management response is directed to the first component. In this regard, the negotiation process with the Provinces and Territories to update the MOAs to explicitly address financial responsibilities and process requirements for CRDP fees and compensation is well advanced with a clause by clause review of a draft agreement. As of March 31, 2013, the members of the FPT Working Group responsible for the drafting of this MOA, except for one jurisdiction, were in full support and all PT members of the CCSO-Family Justice were kept informed. As part of the negotiations, consideration is being given to a proposal to streamline the invoicing and compensation process in consultation with CFOB. One jurisdiction, however, is unable to commit to the proposed compensation rate (remaining at status quo) without further provincial consultations. It is anticipated that within less than a year a draft agreement will be completed by the Working group. The MOA will then need to be presented in each PT to higher officials' level to make recommendations to and seek approval of the respective P/T Ministers.
With regard to the second component of the recommendation of obtaining Ministerial approval in each jurisdiction, the process is completely outside the departmental management's sphere of control as it may involve political

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OPI:	Carole Millett	Tel#:	(613) 957-4518 / 613-957-4220
Also sent. to:	Daniel Schnob 613-948-5117, Carla Sanipelli 613-941-7343; cc : Elissa Lief 957-1200		

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

**Audit Name: Family Law Assistance Services (Family Orders and Agreements
Enforcement Assistance & Central Registry of Divorce Proceedings) 2007**

considerations.
In the interim, financial responsibilities are covered and respected under the current MOA and the discussions undertaken as referred to in response to recommendation 26(a) to improve the payment and compensation process. Follow-up is done regularly to ensure prompt payment of invoices and compensation is issued on a quarterly basis after payment.
Estimated Date of Completion:
N/A

CAE Assessment
The CAE supports the closure of this recommendation in light of the high level of engagement between federal and provincial / territorial officials in developing revised memoranda of understanding. Additionally, the Preliminary Survey of Family Law Assistance Services (FLAS) 2014-15, will examine the updated processes and procedures to determine whether there are any further issues and / or risks that may require management attention.

Coordinator Name:	Don Piragoff	Tel#:	(613) 957-4730
OPI:	Carole Millett	Tel#:	(613) 957-4518 / 613-957-4220
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**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Ontario Regional Office (Finance and Administration Directorate) 2008

TAB 4: Ontario Regional Office (Finance and Administration Directorate)

Summary:

Tab	Audit Name	Audit Date	MAPs Outstanding for the Spring 2013 Exercise	# of MAPs to be Closed in Spring 2013 Exercise
4	Ontario Regional Office (Finance and Administration Directorate)	August 2008	2	0

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Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:	cc Lorna Kettles for recommendation #29		

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Ontario Regional Office (Finance and Administration Directorate) 2008

Recommendation # 7 (IA Ref# 2008-109-7)	Risk Ranking: Low
Functional Guidance & Direction	
It is recommended that, in conjunction with the regional offices, the Director General, Finance develop a coherent and measurable set of performance objectives for the finance function capable of providing comparisons between regional offices.	

Management Response and Action Plan
Agree. This will be a collaborative effort involving all regional offices to ensure that, from a strategic perspective, the performance objectives are agreed upon and measured for the finance function. These will form part of a recognized performance measurement framework that will be enhanced on a continuous and collective basis. As part of this effort, the DG, Finance office is currently working on developing a balance scorecard with financial and non-financial indicators, which is expected to be in place by the end of calendar year 2008.

Last Update (September 2012)
The delivery of Financial, Contracting and Materiel Management (internal) services across the Department of Justice was consolidated within the CFO Branch (CFOB) on August 1 st , 2012. This consolidation and related modernization of internal services will enable the CFOB to move forward with delivering a consistent level of service across the Department. The CFOB is identifying best practices across the regional offices and across other government departments with the intent of implementing such practices within Justice. A key component of modernizing the CFOB function within the Department is implementing a new service delivery model for processing transactional payments. (This initiative is currently underway.) Additionally, work is being done to complete the CFOB balanced scorecard. Preliminary objectives, measures, targets and initiatives are currently being fine tuned to ensure alignment with the CFOB vision and strategy and with the financial, customer, internal business process, and learning and growth perspectives.
LEVEL 2 // Estimated Date of Completion: September 30, 2013

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input checked="" type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

Current Status as at March 31, 2013 (please provide details on progress against the management action plan):
Further to the consolidation of Financial, Contracting and Materiel Management services across the Department of Justice within the CFOB in August of 2012, significant progress in implementing the related CFOB modernization plan has been achieved. The CFOB has implemented a new service delivery model for processing transactional payments and has finalized an organizational footprint for each of the five regional offices to ensure capacity exists to provide a consistent level of service. Weekly Regional Director of Finance teleconferences facilitate an understanding of each regional office's current practices and client service levels. This understanding enables the CFOB to identify and implement best practices and establish consistent business processes and levels of client service.
In addition, the CFOB conducted a department-wide survey targeted at CFOB customers to gain an understanding of its customer's perception of the current Accounts Payable function and to establish a baseline to further build upon. This information is critical to the success of the new service delivery model.

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:	cc Lorna Kettles for recommendation #29		

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Ontario Regional Office (Finance and Administration Directorate) 2008

The work noted above is foundational to one of the key projects identified in the 2013/14 CFOB Operational Plan: the "Development of a Performance Measurement Framework and Strategy". Key milestones of this project include reviewing and assessing best practices for performance measurement for analogous organizations and communicating with and documenting CFOB staff and customer service standard expectations by September 30th, 2013. The development of service standards for all CFOB functions (includes the Regional CFOB offices as well as the NCR CFOB office) and the development of a "dashboard" to be used as a communication tool for monitoring and reporting on key commitments and initiatives, are targeted for completion by March 31st, 2014. The identification of performance indicators to measure results and provide meaningful feedback and the implementation of a CFOB balanced scorecard are targeted for completion in early 2014/15. The implementation has been delayed due to difficulties and delays in obtaining staffing approvals.

Estimated Date of Completion:

May 31, 2014

CAE Assessment

The CAE supports the extension of deadlines to September 2014 in light of the significant organizational changes stemming from the implementation of Budget 2012.

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
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MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Ontario Regional Office (Finance and Administration Directorate) 2008

Recommendation # 12 (IA Ref# 2008-114-12)	Risk Ranking: Low
Operational Performance Indicators	
It is recommended that the Director General, Finance consider activating SAP features, such as gating, threshold warnings, and volumetric triggers.	

Management Response and Action Plan
Agree that performance reporting capabilities can be made available by activating SAP features. A working group for IFMS will be reactivated in the fall 2008 to gather requirements and prioritize functional enhancements to IFMS. Concurrently, the IFMS unit will investigate activating some of the SAP features available as additional reporting tools from which performance statistics can be derived. With respect to gating in SAP, this feature was reviewed by the newly created HQ statistical sampling unit in 2006-07. At present, expenditures continue to be verified 100% prepayment, with statistical sampling also being performed on a post-payment basis on travel and hospitality expenditures. Once the error rate is reduced to an acceptable level for travel and hospitality expenditures, a gating process will be introduced. Other types of expenditures are also being planned for consideration in the statistical sampling process, which, in effect, would require the implementation of gating for these expenditures.

Last Update (September 2012)
Further to the March 2012 update, the Department will be implementing the IFMS Core Solution for statistical sampling for non-salary expenditures. The CFO Branch is exploring software options for statistical sampling for salary transactions. The CFO Branch is also investigating the implementation of the Gating Solution as a prerequisite for statistical sampling.
LEVEL 3 // Estimated Date of Completion: March 31, 2013

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input checked="" type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
Current Status as at March 31, 2013 (please provide details on progress against the management action plan):	
As indicated in the September 2012 update, the Department will be implementing the PWGSC IFMS Program Office (IFMS Core) solution for statistical sampling. This implementation will now be included as part of the "Procure to Payment at Justice" project.	
Estimated Date of Completion:	
September 30, 2014	

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:	cc Lorna Kettles for recommendation #29		

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Ontario Regional Office (Finance and Administration Directorate) 2008

CAE Assessment
The CAE supports the extension of deadlines to September 2014 in light of the interdependencies with the centrally driven IFMS Core Solutions project.

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
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Also sent to:	cc Lorna Kettles for recommendation #29		

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Programs Branch 2008

TAB 5: Programs Branch Audit

Summary:

Tab	Audit Name	Audit Date	MAPs Outstanding for the Spring 2013 Exercise	# of MAPs to be Closed in Spring 2013 Exercise
5	<u>Programs Branch Audit</u>	September 2008	1	1

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Coordinator Name:		Tel#:	
OPI:	Barbara Merriam	Tel#:	613-957-4344
Also sent to:			

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Programs Branch 2008

Recommendation # 13 (IA Ref# 2008-147-13)	Risk Ranking: Low
Interest on Overdue Accounts	
It is recommended that the DG, Programs Branch ensure that interest on overdue accounts is charged as required.	

Management Response and Action Plan
Agree. Many of the overdue accounts in question are either for very small amounts or have been assessed as likely to be unrecoverable. In view of the nature of these overdue accounts, Programs Branch, in consultation with the DG, Finance, will review carefully the Interest and Administrative Charges Regulations pursuant to the Financial Administration Act to ensure that interest is charged in all cases where the exceptions provided (small amounts, etc.) do not apply.

Last Update (September 2012)
Subsequent to last update on March 2012, a draft briefing note to the DM to waive interest charges was prepared earlier this fiscal year and circulated for comments. Still pending at the moment.
LEVEL 4 // Estimated Date of Completion: By the end of fiscal year 2012-13.

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input checked="" type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

Current Status as at March 31, 2013 (please provide details on progress against the management action plan):
Interest will be charged with the exception of small amounts or accounts being assessed as likely to be unrecoverable. Subsequent to the update of March 2012, a draft briefing note to the Deputy Minister (DM) to obtain blanket approval to waive interest charges for the above-mentioned exceptions was prepared early in the fiscal year (2012-13) and circulated for comments. As recommended by the Debt-Write Off Committee, further changes were required to the briefing note. The briefing note is still pending at the moment. If approval for blanket authority is not obtained from the DM, the approval for waiving interest on specific accounts will continue to be carried out upon submission of the uncollectible or deemed uncollectible accounts to the Debt-Write Off Committee prior to recommending for approval to the CFO/DM.
Estimated Date of Completion:
NA - Completed

CAE Assessment
After consultations with CFOB, the CAE supports closing this recommendation.

Coordinator Name:		Tel#:	
FOPI:	Barbara Merriam	Tel#:	613-957-4344
Also sent to:			

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Salary Management System 2009

TAB 6: Salary Management System

Summary:

Tab	Audit Name	Audit Date	MAPs Outstanding for the Spring 2013 Exercise	# of MAPs to be Closed in Spring 2013 Exercise
6	Salary Management System	July 2009	2	1

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Coordinator Name:	cc Carla Sanipelli	Tel#:	613-941-7343
OPT:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Salary Management System 2009

Recommendation # 1ab (IA Ref# 2009-43-1)	Risk Ranking: Low
Responsibilities & Organization It is recommended that the Chief Financial Officer ensure that: <ul style="list-style-type: none"> a) responsibilities for managing and supporting the SMS and ensuring that the system is used appropriately are defined and documented; b) the Finance Branch increase its monitoring of SMS use by users and of the accuracy of SMS data. 	

Management Response and Action Plan Agree. The Chief Financial Officer Branch (CFOB), through the SFT project, will better define its leadership role and ensure that roles and responsibilities are well defined and documented for the Finance divisions, business units, and administrators. Monitoring and ongoing support functions associated with the maintenance and quality of data being captured will also be defined and developed. These will be reviewed and addressed as part of the SFT project, which is scheduled for implementation on July 1, 2010.

Last Update (September 2012) September 2012 Update: Further to the March 2012 update for part (a) of the recommendation, the roles and responsibilities in managing and supporting the Salary Forecasting Tool have been established, however they have yet to be formally approved. The approval will be completed by the end of the fiscal year. LEVEL 4 // Estimated Date of Completion: March 31, 2013 March 2012 Update: Current status as of March 31st, 2012 (a) Ongoing. (95% complete) (b) Completed, as per April 2011 Follow-Up Update Description: (a) Defining roles and responsibilities in managing and supporting the Salary Forecasting Tool (SFT) needs to be determined and finalized. The Resource Management Division and Financial Systems section within the CFO Branch will action this last requirement for this recommendation by the end of June 2012.

Commented [DT2]:

We added the March 2012 update here for context and continuity. Part (b) of the recommendation was completed as of April 2011. The update provided below for March 2013 is for part (a) only.

Update:			
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)	<input checked="" type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)			
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)			
Current Status as at March 31, 2013 (please provide details on progress against the management action plan):			
Further to the September 2012 update for part (a) of the recommendation, the roles and responsibilities in managing and supporting the Salary Forecasting Tool have been formally approved.			
Coordinator Name:	cc Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Salary Management System 2009

LEVEL 5 // Date of Completion: March 31, 2013
Estimated Date of Completion:
N/A (Completed)

CAE Assessment
The CAE supports closing this recommendation as both parts (a) and (b) have been fully implemented.

Coordinator Name:	cc Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Salary Management System 2009

Recommendation # 16 (IA Ref# 2009-58-16)	Risk Ranking: Medium
Information Technology Security	
It is recommended that the Chief Financial Officer request that the CIO prepare a new TRA and C&A.	

Management Response and Action Plan
Agree. A new TRA and C&A will be prepared as part of the implementation of SFT on July 1, 2010.

Last Update (September 2012)
Further to the March 2012 update, the CFO Branch is awaiting confirmation from the Information Management Branch regarding whether Certification and Accreditation needs to be completed.
LEVEL 4 // Estimated Date of Completion: March 31, 2013

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input checked="" type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

Current Status as at March 31, 2013 (please provide details on progress against the management action plan):
Clarification was received in February 2013 from IMB and the Internal Audit Branch that Certification and Accreditation (C&A) is always required after the TRA is completed. The CFO Branch will follow-up with Information Solutions Branch (former Information Management Branch) by May 31, 2013 regarding what is required and the time line for completing the Certification and Accreditation. The implementation has been delayed due to difficulties and delays in obtaining staffing approvals.
Estimated Date of Completion:
To Be Determined – the date for the completion of the C&A is to be determined based on the CFOB follow-up with ISB (Information Solutions Branch).

CAE Assessment
Although this audit dates back to 2009, the CAE supports the extension of the deadlines in light of system-wide staffing delays following from budget 2012.

Coordinator Name:	cc Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Immigration Law Regional Offices 2009

TAB 7: Immigration Law – Regional Offices

Summary:

Tab	Audit Name	Audit Date	MAPs Outstanding for the Spring 2013 Exercise	# of MAPs to be Closed in Spring 2013 Exercise
7	Immigration Law – Regional Offices	November 2009	1	1

[Back to Table of Contents](#)

Coordinator Name:	Jo-Anne Brisbois	Tel#:	613-957-4220
OPI:	Patrick Vézina	Tel#:	613-957-4670
Also sent to:	Alexandre Larouche 613-941-9256, Daniel Therrien 613-952-4774		

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Immigration Law Regional Offices 2009

Recommendation # 2 (IA Ref# 2009-35-2)	Risk Ranking: Low
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Information Systems

It is recommended that the Director General, Law Practice Management Directorate, and the ADAG, PSDI Portfolio, consider the deployment of GASPARD to client departments (with respect to case law).

Management Response and Action Plan

LPMD

We agree. We will consider whether it would be feasible and appropriate to provide limited and secure access to case law found in GASPARD to officers in CIC and CBSA so as to make a determination on such feasibility before August 30, 2010. If the conclusion is that it would be feasible and appropriate to do so, we will then set a date before which access to case law in GASPARD will be provided to officers in CIC and CBSA. A pilot project currently under way with CIC will provide us with the additional information for our determination.

PSDI

We agree. The GASPARD team in the QRO have entered into an MOU with CIC on a trial basis since July 2009 (copy attached) and will assess client satisfaction with the product by the end of August 2010. Once we have the results from the pilot project, we will be in a position to make informed decisions regarding the provision of access to clients on a broader basis. Further, with regard to use of pay-per-use legal information services, we agree to prioritize the use of departmental tools.

Last Update (September 2012)

Justipedia was released on February 1st, 2012 and will be fully implemented by the end of 2012-13. Justipedia will replace GASPARD and other KM systems. Pilot projects involving the provision of limited and secure access to case law found in GASPARD to officers in CIC and CBSA will be continued in Justipedia in 2012-13 and are expected to be completed by December 2012. We will then be in a position to consider whether it would be feasible and appropriate to provide limited and secure access to case law found in Justipedia to other departments and agencies.

LEVEL 4 // Estimated Date of Completion: End of 2012-2013

Update:

<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input checked="" type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

Current Status as at March 31, 2013 (please provide details on progress against the management action plan):

GASPARD (with respect to case law) was successfully made available to CIC and CBSA on a limited basis. CIC and CBSA access to GASPARD ceased in 2012 when all legal knowledge management systems were replaced by Justipedia, Justice Canada national legal knowledge management portal.

The Management Sector and PSDI have responded to the specific recommendation contained in the audit report and considers this action completed.

Estimated Date of Completion:

CAE Assessment

The CAE supports closure of this recommendation in light of the completion of the departmental roll-out of Justipedia (which replaced GASPARD).

Coordinator Name:	Jo-Anne Brisbois	Tel#:	613-957-4220
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Also sent to:	Alexandre Larouche 613-941-9256, Daniel Therrien 613-952-4774		

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Budgetary Allocation 2010

TAB 8: Budgetary Allocation and Forecasting

Summary:

Tab	Audit Name	Audit Date	MAPs Outstanding for the Spring 2013 Exercise	# of MAPs to be Closed in Spring 2013 Exercise
8	<u>Budgetary Allocation and Forecasting</u>	July 2010	1	0

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Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPA:	Daniel Schnob	Tel#:	613-948-5117
Absent for:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Budgetary Allocation 2010

Recommendation # 3 (IA Ref# 2010-3-3)	Risk Ranking: Low
Financial Management Advisors It is recommended that the CFO: <ol style="list-style-type: none"> after consulting with portfolio/sector heads, ensure that the roles and responsibilities of the Financial Management Advisor function are defined; seek the support of the Senior Management Board to ensure the successful implementation of the Financial Management Advisor function in portfolios and sectors. 	

Management Response and Action Plan Agreed. In July 2009, as part of the Deputy Minister's announcement regarding the creation of the Chief Financial Officer Model, it was noted that a key element of the CFO implementation was formalizing the Financial Management Advisory function across the Department. Sufficient time has now elapsed to carry out an assessment of the FMA function from which the feedback will be used as the basis for improving the level of services received and for sharing of best practices. The CFO met with stakeholders (ADMs, ADAGs, Heads of Sectors, Directors of Business Management, and Financial Management Advisors) in the fall of 2009 with a goal of facilitating a common understanding of the role and responsibilities of the FMA. A report will be drafted of the assessment, discussions, and findings in effort to determine next steps and ensure successful implementation. The CFO will provide an update, including report results, of the FMA implementation to the Senior Management Board to ensure the Department's ongoing commitment to this portion of the CFO model, prior to the end of fiscal year 2010-11. Clarity around roles and responsibilities will also be incorporated as part of the CFO's roles and responsibilities project currently being undertaken by the Branch.
--

Last Update (September 2012) Part (a) of the recommendation was completed as of the March 2012 update. In regards to part (b) of the recommendation, the implementation of the Financial Management Advisor (FMA) Model is ongoing and is a key priority for the Chief Financial Officer (CFO). Approximately six new FMAs have been hired to augment the FMA model and capacity of the Department. Going forward, the consolidation of Internal Services on August 1 st , 2012 will provide the CFO with the opportunity to professionalize the FMA function across the Department through the hiring of additional Financial Officers to support it. The current CFO Branch consolidation project proposed plan requires DM approval, so the augmentation of this function across the Department is expected to occur in 2013. LEVEL 3 // Estimated Date of Completion: December 31, 2013

Update: <div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> <input type="checkbox"/> Level 1 (No or insignificant progress) </div> <div style="width: 45%;"> <input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation) </div> </div> <div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> <input type="checkbox"/> Level 2 (Planning Stage: plans created & approved) </div> <div style="width: 45%;"> <input type="checkbox"/> Level 5 (Full Implementation – Structures & processes operating as intended and are fully implemented) </div> </div> <div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> <input checked="" type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement) </div> <div style="width: 45%;"> <input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable) </div> </div>	
Current Status as at March 31, 2013 (please provide details on progress against the management action plan): Part (a) of the recommendation was completed as of the March 2012 update. In regards to part (b) of the recommendation, CFOB continues to work on developing the FMA model. The model remains a key priority for the Chief Financial Officer, with the goal of transitioning the FMA role to that of a strategic advisor. Further to the September 2012 update, CFOB has worked extensively on its Consolidation Plan; however, the Plan has not yet been approved by the DM. It is the hope of the CFO that the Consolidation Plan will be presented to the DM shortly, and approved and supported by the senior leadership of the Department. It has been challenging to staff FMA positions in the current environment of constraint, and in moving forward it remains unclear if	

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**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Budgetary Allocation 2010

these constraints will be lifted. The implementation has also been delayed due to difficulties and delays in obtaining staffing approvals. The plan is to augment the FMA structure over the next two to three years with FI 04s that will play the strategic advisor function to ADMs and ADAGs. These senior FMAs will be supported by other FMAs at various levels.

Estimated Date of Completion:

March 31, 2015

CAE Assessment

Although this audit dates back to 2010, the CAE supports the extension of the deadlines in order to seek approval and support for the implementation of the FMA model.

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
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**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Cost Recovery 2010

TAB 9: Cost Recovery Framework

Summary:

Tab	Audit Name	Audit Date	MAPs Outstanding for the Spring 2013 Exercise	# of MAPs to be Closed in Spring 2013 Exercise
9	Cost Recovery Framework	July 2010	2	0

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Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Cost Recovery 2010

Recommendation # 2 (IA Ref# 2010-9-2)	Risk Ranking: High
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Integrated Planning

It is recommended that the CFO, with the support of the ADM, Management Sector, ensure that an Integrated plan is prepared that sets out a strategy for the management of cost recovery.

Management Response and Action Plan

Agree. The CFOB strategic plan has identified the need for the establishment of a net vote framework that would articulate the Department's management of its net vote authority, including the re-engineering of cost recovery processes. The framework will be a formal document that provides context, standards, and directions, as well as the supporting structure. This document will consist of a set of ideas, conditions, or assumptions that determine how the management of the net vote authority and cost recovery processes will be approached, perceived, and understood by departmental staff. Articulated roles and responsibilities will ensure all requirements are assigned so that established standards may be adhered to. It is anticipated that the net vote framework project will move forward over the next two years (i.e. 2010-11 and 2011-12), and that the development of an integrated plan for the management of cost recovery formalizing the vision will be part of discussions noted under Recommendation 1. In support of such a framework, the plan will focus on gaps and the development of enhancements, which will direct resources to priorities, set a direction with deliverables, establish a timeframe, and ensure objectives are met.

Last Update (September 2012)

Status as of September 28, 2012 = Ongoing (65% complete)
Continued progress has been made on the Cost Recovery Process Improvement (CRPI) project, with Phase I completed and completion of Phase II of the project to occur by March 31, 2013.

The outcomes of the CRPI project will serve as the foundation for the development of the Net Vote Framework. Building upon the common business practices and standards implemented in conjunction with CRPI, the CFO Branch intends to complete the development of the Net Vote Framework by March 31, 2014. The delay of the Net Vote Framework implementation is attributed to two factors: an extension of the CRPI project timelines and the reallocation of resources in CFOB to maintain other core activities.

LEVEL 4 // Estimated Date of Completion: March 31, 2014

Update:

<input type="checkbox"/> Level 1 (No or insignificant progress)	<input checked="" type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

Current Status as at March 31, 2013 (please provide details on progress against the management action plan):

Status = Ongoing (70% complete)

The outcomes of the Cost Recovery Process Improvement (CRPI) project serve as the foundation for the development of the Net Vote Framework. Continued progress has been made on CRPI since the last update, including the completion of Phase II of the project on March 31st, 2013. Depending on a 2013-14 departmental reserve funding decision, it is anticipated that CRPI will be prolonged until the Summer of 2013 in order to deliver further enhancements requested by the user community.

Building upon the common business practices and standards implemented in conjunction with CRPI, the CFO Branch intends to complete the development of the Net Vote Framework by Summer 2015. The extended delay of the Net Vote Framework implementation is attributed to three factors: a continued extension of the CRPI project timelines (now possibly until Summer 2013), the delays in approvals to staff for positions to work on this project, and the reallocation of resources in the CFO Branch to maintain other core activities.

To date, the broad framework and concept for the Net Vote Framework has been shared with the Finance, Timekeeping (ICase

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**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Cost Recovery 2010

Business Practice Division) and Director of Business Management communities. In late April 2013, the broad framework and concept is scheduled to be presented to the Deputy Minister at Management Committee. In May 2013, the project charter and the first draft policy will be shared with the Finance, Timekeeping (ICase Business Practice Division) and Director of Business Management communities.

LEVEL 4 // Estimated Date of Completion: Summer 2015

Estimated Date of Completion:

September 15, 2015

CAE Assessment

Although this audit dates back to 2010, the CAE supports the extension of the deadlines in light of the significant organizational changes stemming from budget 2012, the concomitant delays in staffing and the re-prioritization of the activities and projects.

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OP:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Cost Recovery 2010

Recommendation # 3 (IA Ref# 2010-10-3)	Risk Ranking: Medium
Human Resources It is recommended that the CFO ensure that each of the portfolios and the three specialized legal areas at headquarters are appropriately staffed with FMAs.	

Management Response and Action Plan Agree. The financial management advisor function continues to gain support and be strengthened throughout the Department. The CFO has made presentations to each of the Direct Reports to the Deputy Minister within the National Capital Region to discuss the role of the FMAs, and outline their responsibilities and how they are to operate within the Department. Additional FMAs have been hired including the FMA director, remaining positions are being created, and permanent financial resources are being requested from the Department. As of March 31, 2010 there are 8 FMAs within 10 portfolios/sectors and some areas have hired and/or requested more than one FMA. Departmental support is growing and plans are moving forward; however, some challenges may be encountered in regard to competing demands for limited departmental resources, given the current government fiscal restraints. It is intended that within the next two years the FMA function will be fully integrated within the Department's business.

Last Update (September 2012) Progress continues to be made in staffing plans as referenced in the management response and March 2012 update. At the beginning of the current fiscal year (2012-13), approximately \$1.1M in permanent funding was given to CFO Branch's Portfolio Management in support of the FMA model. As of Sept 28, 2012, Justice had 14 Financial Management Advisors (FMAs) representing 10 out of 12 portfolios/sectors, with some areas having more than one FMA. While support for the FMA model continues to increase across the Department, recruitment has become an issue, as 98% of Justice's Financial Officers are under "affected" status. The FMA model remains a key priority for the CFO and the focus on consolidation of Internal Services will further augment and solidify this role within the CFO Branch.
LEVEL 4 // Estimated Date of Completion: September 30, 2013

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input checked="" type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

Current Status as at March 31, 2013 (please provide details on progress against the management action plan): The plans for the FMA portfolio continue to evolve due to the review of internal services, which resulted in a consolidation along functional lines, including Finance. The review also resulted in reductions, which has had a direct impact on our ability to staff various positions, including those within the FMA portfolio. The plans for implementation have also been delayed due to difficulties and delays in obtaining staffing approvals. There is now a shortage of FMAs in four sectors and portfolios. The staff shortage coupled with the consolidation of internal services will result in a re-organization of the FMA structure within CFOB and across the Department. The review of this structure should be completed shortly. A new organizational structure will be proposed to the CFO and subsequently to the DM, which will continue to ensure that FMAs remain strategic advisors that are client focused.
Estimated Date of Completion: March 31, 2015

Coordinator/Name:	Carla Sanipelli	Tel#:	613-941-7343
OP/Name:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Cost Recovery 2010

CAE Assessment
Although this audit dates back to 2010, the CAE supports the extension of deadlines in light of the significant organizational changes stemming from Budget 2012.

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: PeopleSoft Human Resources Management System 2011

TAB 10: PeopleSoft HR Management System

Summary:

Tab	Audit Name	Audit Date	MAPs Outstanding for the Spring 2013 Exercise	# of MAPs to be Closed in Spring 2013 Exercise
10	PeopleSoft HR Management System	March 2011	5	1

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Coordinator Name:	cc : Jo-Anne Brisebois	Tel#:	613-957-4220
OPI:	Joan Pratt	Tel#:	613-941-1867
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: PeopleSoft Human Resources Management System 2011

Recommendation # 5 (IA Ref# 2011-23-5)	Risk Ranking: Low
System Documentation It is recommended that the DG, HRPDD ensure that the Operations Guide is finalized and provided to users as soon as it is completed.	

Management Response and Action Plan Agreed. The HR Systems Team recognizes the need to have all processes and procedures that are currently used to effectively maintain the application documented and made known to the ever-increasing user community. The work in relation to the development of the Operations Guide is nearing completion and will be finalized, communicated to all users, and made available through HR and You. Completion date: By March 31, 2012.
--

Last Update (September 2012) The PeopleSoft product is undergoing a mandatory technical upgrade. This upgrade will result in changes to the look and feel of the system as well as navigation within the system. Given this upgrade, the HR Systems team agreed that the draft Guide would be revised to reflect the new product once the upgrade is complete. The new version will be released into production on November 19th followed by a four week stabilization period. As such, final revision of the Guide will take place when the system upgrade is complete. The finalization and communication of this Guide is a priority for the HRMS Team and we are on track to meet the March 31, 2013 deadline. LEVEL 3 // Estimated Date of Completion: March 31, 2013
--

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input checked="" type="checkbox"/> Level 5 (Full Implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

Current Status as at March 31, 2013 (please provide details on progress against the management action plan): The PeopleSoft mandatory technical upgrade resulted in changes to the look and feel of the system as well as navigation within the system. Given this upgrade, the HR Systems team revised the Operations Guide to reflect the new product following completion of the upgrade, which was released into production on November 19, 2012. This was followed by a four week stabilization period. The March 31, 2013 deadline has been met. Estimated Date of Completion: March 31, 2013

CAE Assessment The CAE supports the closure of the recommendation as fully implemented.

Coordinator Name:	cc : Jo-Anne Brisebois	Tel#:	613-957-4220
OPI:	Joan Pratt	Tel#:	613-941-1867
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: PeopleSoft Human Resources Management System 2011

Recommendation # 7 (IA Ref# 2011-25-7)	Risk Ranking: Medium
Back ups and Business Continuity Planning	
It is recommended that the DG, HRPDD ensure that the criticality of PeopleSoft is assessed through a BIA, and that a BCP is completed for PeopleSoft.	

Management Response and Action Plan
Agreed. HRPDD and the IMB will work in collaboration to ensure that the assessment and plan are completed in conformity with the department's guide to business continuity. Completion date: By March 31, 2013.

Last Update (September 2012)
This activity is on track. As previously indicated the HR Business Continuity Plan (BCP) was used as the basis for the development of a PeopleSoft BCP. The PeopleSoft BCP is nearing completion and is referenced in an addendum that was developed by the IMB of an IT BCP related to Corporate Applications.
LEVEL 2 // Estimated Date of Completion: March 31, 2013

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input checked="" type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

Current Status as at March 31, 2013 (please provide details on progress against the management action plan):
Estimated Date of Completion: <u>March 31, 2013</u>

CAE Assessment
The CAE supports the extension of the deadline to <u>March 31, 2013</u>

Coordinator Name:	cc : Jo-Anne Brisebois	Tel#:	613-957-4220
OPT:	Joan Pratt	Tel#:	613-941-1867
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: PeopleSoft Human Resources Management System 2011

Recommendation # 11 (IA Ref# 2011-29-11)	Risk Ranking: Medium
Data Sensitivity & Security	
It is recommended that the DG, HRPDD ensure that a Privacy Impact Assessment and a Threat and Risk Assessment are completed.	

Management Response and Action Plan
Agreed. HRPDD in collaboration with IMB will take the necessary steps to secure the services of experts to undertake a Privacy Impact Assessment and a Threat Risk Assessment in order to ensure compliance with the Treasury Board Management of Information Technology Security (MITS.). Completion date: By March 31, 2013.

Last Update (September 2012)
The Threat Risk Assessment has been completed and contracting arrangements are now being finalized in order to secure contracting assistance for the conduct and development of the Privacy Impact Assessment.
LEVEL 3 // Estimated Date of Completion: March 31, 2013

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress) <input type="checkbox"/> Level 2 (Planning Stage: plans created & approved) <input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input checked="" type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation) <input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented) <input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
Current Status as at March 31, 2013 (please provide details on progress against the management action plan):	
The TRA has been completed and endorsed by all parties involved.	
The March 31, 2013 deadline for the TRA has been met.	
The PIA is underway.	
Estimated Date of Completion: TRA - March 31, 2013 / PIA Dec. 31, 2013	

CAE Assessment
The CAE supports the extension of the deadline in order to complete the PIA.

Coordinator Name:	cc : Jo-Anne Brisebois	Tel#:	613-957-4220
OPI:	Joan Pratt	Tel#:	613-941-1867
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: PeopleSoft Human Resources Management System 2011

Recommendation # 12 (IA Ref# 2011-30-12)	Risk Ranking: Medium
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Data Sensitivity & Security

It is recommended that the DG, HRPDD ensure that the Certification and Accreditation of PeopleSoft is updated.

Management Response and Action Plan

Agreed. HRPDD in collaboration with the IMB will take the necessary steps to ensure that the Certification and Accreditation of PeopleSoft is updated and completed by March 2013.

Last Update (September 2012)

The Information Management Branch in conjunction with the HR Systems Unit are working with IT Security to ensure that this work proceeds and is completed by March 31, 2013.

LEVEL 2 // Estimated Date of Completion: March 31, 2013

Update:

<input type="checkbox"/> Level 1 (No or insignificant progress) <input type="checkbox"/> Level 2 (Planning Stage: plans created & approved) <input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input checked="" type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation) <input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented) <input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
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Current Status as at March 31, 2013 (please provide details on progress against the management action plan):

HR Systems Unit is working with the Information Solutions Branch to ensure that the *PeopleSoft* accreditation is updated.

Estimated Date of Completion:

October 2013

CAE Assessment

The CAE supports the extension of the deadline to October 2013.

Coordinator Name:	cc : Jo-Anne Brisebois	Tel#:	613-957-4220
OP:	Joan Pratt	Tel#:	613-941-1867
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: PeopleSoft Human Resources Management System 2011

Recommendation # 13 (IA Ref# 2011-31-13)	Risk Ranking: Medium
Data Sensitivity & Security It is recommended that the DG, HRPDD ensure that the appropriate protection level for all HR data is identified and communicated to staff.	

Management Response and Action Plan Agreed. The PeopleSoft HRMS is the government-endorsed application for HR Management. The Government of Canada version of the PeopleSoft HRMS is maintained by the Program Centre housed within PWGSC. The Program Centre has identified appropriate security designations for the modules licensed by the Government of Canada. Responsibility for access controls is left to the discretion of each government department utilizing the application taking these security designations into consideration. As referenced above, both the 2006 Threat and Risk Assessment and the 2008 Certification and Accreditation documents designate PeopleSoft data as either Protected A or B. Work to update both of these documents will be undertaken in the short-term and will serve to reconfirm the appropriate levels of protection for the system. As referenced in 8, 9, 10 above, restricted access with a second level approval process is granted for Protected B data. A communication strategy will be put in place to identify and communicate level of protection for all HR data. Completion Date: By March 31, 2012.
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Last Update (September 2012) Please refer to recommendation # 11 (above). The review of security levels forms part of the Privacy Impact Assessment (PIA). A communications strategy will be developed and implemented upon completion of the PIA. LEVEL 3 // Estimated Date of Completion: March 31, 2013

Update: <table style="width: 100%;"> <tr> <td style="width: 50%; vertical-align: top;"> <input type="checkbox"/> Level 1 (No or insignificant progress) <input type="checkbox"/> Level 2 (Planning Stage: plans created & approved) <input checked="" type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement) </td> <td style="width: 50%; vertical-align: top;"> <input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation) <input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented) <input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable) </td> </tr> </table>		<input type="checkbox"/> Level 1 (No or insignificant progress) <input type="checkbox"/> Level 2 (Planning Stage: plans created & approved) <input checked="" type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation) <input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented) <input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
<input type="checkbox"/> Level 1 (No or insignificant progress) <input type="checkbox"/> Level 2 (Planning Stage: plans created & approved) <input checked="" type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation) <input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented) <input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)		
Current Status as at March 31, 2013 (please provide details on progress against the management action plan): Please refer to recommendation #11 above. The review of security levels forms part of the Privacy Impact Assessment (PIA). A communications strategy will be developed and implemented upon completion of the PIA. Estimated Date of Completion: December, 2013			

CAE Assessment The CAE supports the extension of the deadline in order to complete the PIA.

Coordinator Name: OPI: Also sent to:	cc : Jo-Anne Brisebois Joan Pratt	Tel#: 613-957-4220 Tel#: 613-941-1867
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**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: LEGAL AGENT ACCOUNT VERIFICATION PROCESS (LAAV) 2011

TAB 11: LEGAL AGENT ACCOUNT VERIFICATION PROCESS (LAAV)

Summary:

Tab	Audit Name	Audit Date	MAPs Outstanding for the Spring 2013 Exercise	# of MAPs to be Closed in Spring 2013 Exercise
11	<u>LEGAL AGENT ACCOUNT VERIFICATION PROCESS (LAAV)</u>	April 2011	2	0

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Coordinator Name:	JODI SEGUIN	Tel#:	613-960-1693
OPI:	CAROLINE GUILLEMETTE	Tel#:	613-946-7641
Also sent to:	Daniel Schnob 613-948-5117 cc Carla Sanipelli 613-941-7343		

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: LEGAL AGENT ACCOUNT VERIFICATION PROCESS (LAAV) 2011

Recommendation # 1 (IA Ref# 2011-9-1) **Risk Ranking: Medium**

Policies, Procedures & Guidelines

It is recommended that the Director, LPMC, in consultation with the Chief Financial Officer, review and update procedures regarding account verification for use by all regional offices.

Management Response and Action Plan

Agreed. The LPMC, in consultation with the Chief Financial Officer Branch (CFOB), will review the account verification (taxation) procedures within this fiscal year (2011-2012). This will include the revision of all existing guidelines, forms, templates, and checklists used in the taxation process. Once the procedures have been finalized, they will form the basis for an operational Directive that will be implemented in all regional offices and legal services units across the Department.

Last Update (September 2012)

Status as of January 24, 2013

The LPMC established and consulted with a national working group consisting of representatives from both regional offices and headquarters' legal services units, which resulted in some amendments to the policy suite. The policy was completed and translated in December 2012. The LPMC is scheduled to present the policy suite to Management Committee on March 14, 2013 for their endorsement and to Executive Committee on March 27, 2013 for approval and formalization.

The action plan is 95% complete.

LEVEL 4 // Estimated Date of Completion: Policy Suite Approval – March 31, 2013 / Full Implementation – June 30, 2013

Update:

<input type="checkbox"/> Level 1 (No or insignificant progress)	<input checked="" type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

Current Status as of March 31, 2013 (please provide details on progress against the management action plan):

Executive Committee approved the full suite of policy instruments on April 10, 2013. LPMC expects to implement the policy suite in all regional offices and legal services units across the Department by June 30, 2013.

The action plan is 98% complete.

Estimated Date of Completion:

Full Implementation – June 30, 2013

CAE Assessment

The CAE supports the management self-assessment at level 4.

Coordinator Name:	JODI SEGUIN	Tel#:	613-960-1693
OPI:	CAROLINE GUILLEMETTE	Tel#:	613-946-7641
Also sent to:	Daniel Schnob 613-948-5117 cc Carla Sanipelli 613-941-7343		

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: LEGAL AGENT ACCOUNT VERIFICATION PROCESS (LAAV) 2011

Recommendation # 3 (IA Ref# 2011-11-3)	Risk Ranking: Low
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Rates & Delegation:

It is recommended that the Director, LPMC ensure that the hourly rate guidelines and the delegated approval authorities are reviewed and modified.

Management Response and Action Plan

Agreed. With the introduction in recent years of competitive processes for the selection of legal agents, the hourly rate guidelines have become a secondary factor in establishing remuneration as market forces come into play through the proposal process. The guidelines remain relevant in the few cases where the work is assigned to an agent on a sole-source basis or further to a referral to the Minister of Justice.

Last Update (September 2012)

Status as of January 24, 2013

The LPMC established and consulted with a national working group consisting of representative from both regional offices and headquarters' legal services units, which resulted in some amendments to the policy suite. The policy was completed and translated in December 2012. The LPMC is scheduled to present the policy suite to Management Committee on March 14, 2013 for their endorsement and to Executive Committee on March 27, 2013 for approval and formalization.

Consultations are ongoing with CFOB to determine if amendments are required to the Department's *Delegation of Financial Signing Authorities Chart and Supporting Notes*.

The action plan is 95% complete.

LEVEL 4 // Estimated Date of Completion: Policy Suite Approval – March 31, 2013 / Full Implementation – June 30, 2013

Update:

<input type="checkbox"/> Level 1 (No or insignificant progress) <input type="checkbox"/> Level 2 (Planning Stage: plans created & approved) <input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input checked="" type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation) <input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented) <input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
---	---

Current Status as of March 31, 2013 (please provide details on progress against the management action plan):

Executive Committee approved the full suite of policy instruments on April 10, 2013. LPMC expects to implement the policy suite in all regional offices and legal services units across the Department by June 30, 2013.

Consultations with CFOB are complete, which resulted in a number of amendments to the Department's *Delegation of Financial Signing Authorities Chart and Supporting Notes*. These amendments are subject to Departmental approvals expected in late May 2013.

The action plan is 98% complete.

Estimated Date of Completion:

Full Implementation – May 31, 2013

Coördinator Name:	JODI SEGUIN	Tel#:	613-960-1693
OPJ:	CAROLINE GUILLEMETTE	Tel#:	613-946-7641
Also sent to:	Daniel Schnob 613-948-5117 cc Carla Sanipelli 613-941-7343		

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: LEGAL AGENT ACCOUNT VERIFICATION PROCESS (LAAV) 2011

CAE Assessment
The CAE supports the management self-assessment at level 4.

Coordinator Name:	JODI SEGUIN	Tel#:	613-960-1693
OPI:	CAROLINE GUILMETTE	Tel#:	613-946-7641
Also sent to:	Daniel Schnob 613-948-5117 cc Carla Sanipelli 613-941-7343		

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Staffing/Resourcing Function 2011

TAB 12: Staffing/Resourcing Function

Summary:

Tab	Audit Name	Audit Date	MAPs Outstanding for the Spring 2013 Exercise	# of MAPs to be Closed in Spring 2013 Exercise
12	Staffing/Resourcing Function	June 2011	1	0

[Back to Table of Contents](#)

Coordinator Name:	cc : Jo-Anne Brisbois	Tel#:	613-957-4220
OPI:	Jonn Pratt	Tel#:	613-941-1867
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Staffing/Resourcing Function 2011

Recommendation # 4 (IA Ref# 2011-54-4)	Risk Ranking: Medium
Controlling It is recommended that the Director General, HRPDD take the necessary steps to implement the Staffing Monitoring Framework.	

Management Response and Action Plan
Agreed. The new Staffing Monitoring Framework has been endorsed by Senior Management. The new framework outlines ongoing monitoring activities (e.g. area of selection), cyclical activities (e.g. appointment file reviews), directed (e.g. acting appointments over 12 months), as well as thematic (e.g. delegation, priority administration, etc.) monitoring activities as well as the frequency of each. Completion date: Implementation of the approved framework has commenced and the completion of the current monitoring cycle and its associated activities is March 2013.

Last Update (September 2012)
As part of the Monitoring Framework, in October 2012, Corporate Programs initiated an appointment file review exercise. This exercise was identified as a requirement in the departmental action plan to address PSC audit findings. The Report related to this review will be submitted to the Deputy Minister and senior management in February 2013. The Department will have completed a full cycle of staffing monitoring by its target date of March 31, 2013.
LEVEL 4 // Estimated Date of Completion: March 2013

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input checked="" type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
Current Status as at March 31, 2013 (please provide details on progress against the management action plan):	
To fully implement the Staffing Monitoring Framework (SMF), the remaining element was the completion of an internal appointment review exercise by Human Resources and Professional Development Directorate (HRPDD). The internal appointment review exercise was initiated on November 1, 2012 and concluded at the end of February, 2013. The final report regarding the findings of the review was submitted to the attention of the D.G, HRPDD and will be reported to senior management by end of May, 2013.	
Estimated Date of Completion: May 31, 2013	

CAE Assessment
The CAE supports the extension of the deadline.

Coordinator Name:	cc : Jo-Anne Brisbois	Tel#:	613-957-4220
OPI:	Joan Pratt	Tel#:	613-941-1867
Also sent to:			

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Staffing/Resourcing Function 2011

Coordinator Name:	cc : Jo-Anne Brisbois	Tel#:	613-957-4220
OPI:	Joan Pratt	Tel#:	613-941-1867
Also sent to:			

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Canada Border Services Agency Legal Services Unit 2011

TAB 13: Canada Border Services Agency Legal Services Unit

Summary:

Tab	Audit Name	Audit Date	MAPs Outstanding for the Spring 2013 Exercise	# of MAPs to be Closed in Spring 2013 Exercise
13	Canada Border Services Agency Legal Services Unit	August 2011	2	1

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Coordinator Name:		Tel#:	
OPI:	Leigh Taylor	Tel#:	613-946-2505
Also sent to:	Daniel Therrien 613-952-4774		

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Canada Border Services Agency Legal Services Unit 2011

Recommendation # 4 (IA Ref# 2011-4-4)	Risk Ranking: Low
Controlling	
It is recommended that the Senior General Counsel ensure that the CBSA Legal Services Manual is finalized and distributed to staff.	

Management Response and Action Plan
Agreed. The LSU's Office Procedures Manual will be finalized by March 31, 2012 and distributed to all staff. While there is a solid draft of the manual already prepared which is currently being used by staff, it is expected that there will be significant new procedures and direction developed over the course of the next six to eight months that will need to be documented in the manual.

Last Update (September 2012)
There has been consistent work over the past 6 months to develop new procedures and direction, particularly with respect to issues like file closing procedures. Moreover, the working group responsible for the Manual has met to discuss a way forward. It remains to implement it.
LEVEL 2 // Estimated Date of Completion: March 31, 2013

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress) <input type="checkbox"/> Level 2 (Planning Stage: plans created & approved) <input checked="" type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation) <input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented) <input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

Current Status as at March 31, 2013 (please provide details on progress against the management action plan):
The working group tasked with this audit recommendation has met and some of the newly developed office procedures have been finalized. There has been some progress made on finalizing the overarching document.
Estimated Date of Completion:
June 30, 2013

CAE Assessment
The CAE supports the extension of the deadline.

Coordinator Name:	Leigh Taylor	Tel#:	613-946-2505
OPI:	Daniel Therrien	Tel#:	613-952-4774
Also sent to:	Daniel Therrien 613-952-4774		

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Canada Border Services Agency Legal Services Unit 2011

Recommendation # 5 (IA Ref# 2011-5-5)	Risk Ranking: Low
Human Resources It is recommended that the Senior General Counsel ensure that the work objectives for team leaders refer to assigned responsibilities for their corporate priority in order to facilitate the performance appraisal process.	

Management Response and Action Plan Agreed. As a result of the redesign of the LA classification standard, the team leaders in the LSU are now included in the Law Management (LC) Occupational Group and are required to prepare performance agreements as set out in Appendix B of the Treasury Board's Directive on the Performance Management Program for Executives. The Senior General Counsel will ensure that the team leaders' performance agreements include Key Commitments relating to those that the Senior General Counsel has identified in her performance agreement and that reflect the LSU's corporate management priorities as outlined in its business plan. As a result, each team leader will have objectives that refer to their priority activities as assigned by the Senior General Counsel. This recommendation is currently being implemented: the PSDI Portfolio is in the process of preparing performance agreements for its executives for fiscal 2011-12 and this recommendation will be implemented as those agreements are finalized.

Last Update (September 2012) On May 23, 2012 the team managers held their annual planning exercise and set the office priorities for fiscal year 2012/13. Each team manager assumed responsibility for a number of these priorities. A record of decision was taken respecting these priorities. As a follow up, on October 21, the Executive Director and Senior General Counsel sent an e-mail to the team managers again setting out the priorities and asking each manager to prepare an action plan to address the priorities assigned to them, identifying the steps to be taken and the deadlines for each step. She will be meeting with each of the team managers over the next 2-3 weeks to evaluate the plans and discuss going forward. LEVEL 4 // Estimated Date of Completion: December 15, 2012

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input checked="" type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

Current Status as at March 31, 2013 (please provide details on progress against the management action plan): Following the May 23, 2012 planning exercise, and the e-mail setting out the corporate objectives for each of the managers, the Executive Director met with each of the managers to discuss their corporate objectives. Each manager produced a work plan for their objectives, and the Executive Director and managers have discussed progress at regular intervals. These objectives are incorporated into individuals PMAs and the managers will be evaluated on their progress on the objectives. We are in the process of scheduling our annual planning exercise for fiscal year 2013/14 (likely to be held in early May), and will again set objectives for each of the managers. The cycle will begin again.

Coordinator Name:		Tel#:	
OPI:	Leigh Taylor	Tel#:	613-946-2505
Also sent to:	Daniel Therrien 613-952-4774		

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Canada Border Services Agency Legal Services Unit 2011

Estimated Date of Completion:
Complete

CAE Assessment
The CAE supports closing this recommendation as fully implemented.

Coordinator Name:		Tel#:	
OPI:	Leigh Taylor	Tel#:	613-946-2505
Also sent to:	Daniel Therrien 613-952-4774		

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Regional Contracting 2011

TAB 14: Regional Contracting

Summary:

Tab	Audit Name	Audit Date	MAPs Outstanding for the Spring 2013 Exercise	# of MAPs to be Closed in Spring 2013 Exercise
14	Regional Contracting	August 2011	8	1

[Back to Table of Contents](#)

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Regional Contracting 2011

Recommendation # 1 (IA Ref# 2011-36-1)	Risk Ranking: Medium
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Planning

It is recommended that the Director General, Administration Directorate, in conjunction with the regional directors of Corporate Services, ensure that adequate planning in relation to contracting activities is undertaken at the regional level.

Management Response and Action Plan

Agreed. The Director General, Administration Directorate will align procurement planning to business and investment planning in the Regions and at Headquarters. Target date September 2012.
Given the varied nature of the legal services provided by the Department and its lack of control over schedules to meet court-imposed directions and deadlines, many requirements, such as the litigation services mentioned in the audit, are time-sensitive. The Administration Directorate will award a number of multi-year procurement vehicles to meet recurring requirements such as printing, court reporting, transcription, and process servers. Use of these procurement vehicles will be mandatory for all clients. Target Date February 2012.

Last Update (September 2012)

Several key components of the action plan were previously completed, as outlined in the March 2012 update. An update on the two remaining components is provided below.

A Request for Standing Offer (RFSOs) for court reporters/transcription in British Columbia is posted and a standing offer should be issued by March 2013. RFSOs for other provinces with significant volumes of requirements will follow. A draft RFSO for process servers has been prepared and should be posted for Ontario by January 2013.

All the standing offers for process servers and for court reporting/transcription should be issued by December 2013.

LEVEL 4 // Estimated Date of Completion: December 15, 2013

Update:

<input type="checkbox"/> Level 1 (No or insignificant progress)	<input checked="" type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

Current Status as at March 31, 2013 (please provide details on progress against the management action plan):

Most of the key components were previously completed, as outlined in the September 2012 update.

Bids have been evaluated for the court reporter / transcription requirements in British Columbia and agreements will be awarded in April 2013. As well, The requests for standing offers (RFSOs) for court reporters/transcription were posted in March for Manitoba, Saskatchewan and Alberta. A RFSO for processes servers in Ontario was also posted.

All the standing offers for process servers and for court reporting/transcription should be issued by December 2013. The implementation has been delayed due to difficulties and delays in obtaining staffing approvals.

Estimated Date of Completion:

December 15, 2013

CAE Assessment

The CAE supports the extension of this deadline to December 2013 in light of system-wide staffing delays stemming from Budget 2012.

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPR:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Regional Contracting 2011

Recommendation # 4 (IA Ref# 2011-39-4)	Risk Ranking: Medium
Contracting Activity under \$10,000	
It is recommended that the Director General, Administration Directorate, monitor contracting activity under \$10,000, including the sampling of contract files, to determine the extent of compliance with policies and procedures.	

Management Response and Action Plan
<p>Agreed. The Director General, Administration Directorate, will implement a Compliance and Monitoring Program. The Program will consist of a pre-award review for contracts over a predetermined value or for sensitive files. There will also be a post-contract award compliance review based on a target percentage of contracts within predetermined value ranges – for example, up to five percent of contracts valued between \$1,000 and \$10,000 will be subject to annual review. There will be ad hoc targeted reviews based on commodities as determined by the Director of Contracting and Materiel Management. These activities will support recommendations 4, 5, 6, 8, 10, 11, 12, 13 and 14. The Assistant Deputy Minister of the Management Sector has provided resources to support this activity. Target Date February 2012.</p> <p>The Department will develop training to address the processes, procedures and coding requirements for contracting, which will support recommendations 4, 6, 7, 10, 11, 12, 13, 14 and 15. The Assistant Deputy Minister of the Management Sector has provided resources to support this activity. Target Date December 2012.</p> <p>The Department will also create a series of policy instruments to improve procurement planning and compliance, which will support recommendations 4, 10, 11, 12, 14 and 15. The Assistant Deputy Minister of the Management Sector has provided resources to support this activity. Target Date February 2012.</p>

Last Update (September 2012)
<p>Several key components of the action plan were previously completed, as outlined in the March 2012 update. In regards to the two remaining components, the Monitoring and Compliance Program should be staffed and implemented by March 31, 2013, and a policy suite for contracting was presented and approved at Executive Committee on November 14, 2012 and will be issued by December 2012.</p> <p>LEVEL 4 // Estimated Date of Completion: March 31, 2013</p>

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input checked="" type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
Current Status as at March 31, 2013 (please provide details on progress against the management action plan):	
Further to the September 2012 update, the Monitoring and Compliance Program will be implemented in June 2013 following indeterminate staffing action. The implementation has been delayed due to difficulties and delays in obtaining staffing approvals.	
The Contracting policy suite was approved at Executive Committee in November 2012 and was issued December 14, 2012.	
Estimated Date of Completion:	
June 30, 2013	

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPIN:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Regional Contracting 2011

CAE Assessment

The CAE supports the extension of the deadline in light of the system-wide staffing delays stemming from Budget 2012.

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Regional Contracting 2011

Recommendation # 7 (IA Ref# 2011-42-7)	Risk Ranking: Medium
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Regional Contracts Review Committee

It is recommended that the Director General, Administration Directorate, in conjunction with the regional directors general, ensure that the Regional Contracts Review Committees have clear terms of reference governing the exercise of their stewardship responsibilities with respect to contracting.

Management Response and Action Plan

Agreed. The Director General, Administration Directorate will standardize roles and responsibilities for all Regional Contracts Review Committees and revise their terms of reference to strengthen oversight. Target Date November 2011.

As the authority for all Internal Services in the Region, the regional directors general (RDGs) play a key role and are in fact accountable for the management and service provision of contracting in a region. As such, RDGs are key partners with the Director General, Administration Directorate, in ensuring that contracting practices and supporting financial activities are carried out in compliance with government and departmental policies and procedures.

As a longer-term measure to strengthen accountability, the Director General, Administration Directorate, in conjunction with the CFO, will review the delegation of contracting authority within the Department to rationalize where it is required, and establish a process to delegate contracting authority to areas that require it. Changes to delegation of contracting authorities will be sought as required. Target Date December 2012.

Last Update (September 2012)

The Contract Review Committee document (Terms of Reference) has been sent to the Regional Directors General for another round of consultation and should be completed by February 2013. (80% complete)

A review of contracting delegation was completed and will be done on an annual basis going forward. It should be noted that the contracting function within the Department has now been centralized within the CFO Branch, which already had responsibility for reviewing, maintaining, and updating the delegation chart.

LEVEL 4 // Estimated Date of Completion: February 2013

Update:

<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input checked="" type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

Current Status as at March 31, 2013 (please provide details on progress against the management action plan):

Further to the September 2012 update, the Terms of Reference for the Contract Review Committee were approved by the Regional Directors General in March 2013.

Estimated Date of Completion:

N/A (Completed)

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Regional Contracting 2011

CAE Assessment
The CAE supports closing this recommendation as fully implemented.

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OP:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Regional Contracting 2011

Recommendation # 8 (IA Ref# 2011-43-8)	Risk Ranking: Medium
Reporting & Quality of Information for Management Decision Making	
It is recommended that the Director General, Administration Directorate, ensure that contracting information in IFMS is regularly reviewed for data integrity (complete, accurate, and timely).	

Management Response and Action Plan
Agreed. The Director General, Administration Directorate, will review contracting data in IFMS as part of the Compliance and Monitoring Program. Target Date February 2012. Upon identification of requirements, it may be necessary to modify existing IFMS reports to enable the timely validation process in a sustainable manner (depending on funding). The Administration Directorate will prepare a training module for data integrity. Completed.

Last Update (September 2012)
Further to the March 2012 update, the Monitoring and Compliance Program should be staffed and implemented by March 31, 2013.
LEVEL 4 // Estimated Date of Completion: March 31, 2013

Update:
<div> <input type="checkbox"/> Level 1 (No or insignificant progress) </div> <div> <input checked="" type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation) </div> <div> <input type="checkbox"/> Level 2 (Planning Stage: plans created & approved) </div> <div> <input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented) </div> <div> <input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement) </div> <div> <input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable) </div>

Current Status as at March 31, 2013 (please provide details on progress against the management action plan):
Further to the September 2012 update, the Monitoring and Compliance Program will be implemented in June 2013 following indeterminate staffing action. The implementation has been delayed due to difficulties and delays in obtaining staffing approvals.
Estimated Date of Completion:
June 30, 2013

CAE Assessment
The CAE supports the extension of the deadline in light of system-wide staffing delays stemming from Budget 2012.

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPT:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Regional Contracting 2011

Recommendation # 9 (IA Ref# 2011-44-9)	Risk Ranking: Medium
Reporting & Quality of Information for Management Decision Making	
It is recommended that the Director General, Administration Directorate, in conjunction with the Chief Financial Officer, ensure that procedures, validation and edit rules are in place to manage contracting data.	

Management Response and Action Plan
Agreed. The Director General, Administration Directorate, will provide contracting procedures and coding requirements training to personnel who use their contracting authority. Phase 1 of the training - Completed June 2011. Target date for phase 2 of training - December 2011. The Compliance and Monitoring Program will monitor contract data on a quarterly or more frequent basis. Target Date February 2012.
Any other changes and enhancements to IFMS will be determined during the 2012-13 timeframe that the CFO Branch, has set to respond to the "Procure 2 Pay" re-engineering project requirements, subject to approval of the project as a priority within the investment planning exercise. Target Date March 2013.

Last Update (September 2012)
Further to the March 2012 CMMD update, the Monitoring and Compliance Program should be staffed and implemented by March 31, 2013.
In regards to the re-engineering project, the "Procure-to-Payment at Justice Project" was officially launched in November 2012 with an objective to have the business blueprint completed as a first phase. The second phase will consist of implementing the new functionality in IFMS and performing the business transformation required. The second phase is planned to be completed by the end of fiscal year 2013-14. To be noted is that this project is an inherent part of the CFO Branch cost-savings initiative.
LEVEL 3 // Estimated Date of Completion: April 2014

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input checked="" type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

Current Status as at March 31, 2013 (please provide details on progress against the management action plan):
Further to the September 2012 update, the Monitoring and Compliance Program will be implemented in June 2013 following indeterminate staffing action. The implementation has been delayed due to difficulties and delays in obtaining staffing approvals.
In regards to the "Procure to Payment at Justice Project", Justice is now a pilot department for the PWGSC IFMS Program Office (IFMS Core) procure to payment solution / footprint for all federal government departments using SAP.
Justice will be involved in all the steps of the pilot process, including the building, testing, integration, and roll-out steps. This will facilitate a robust knowledge transfer as the departmental subject matter experts (SMEs) will work collaboratively with the IFMS Program Office throughout the pilot process.
The timeline for the implementation of the procure to payment solution is government wide and is now estimated to be by

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Regional Contracting 2011

the end of fiscal year 2014-2015.

Estimated Date of Completion:

March 31, 2015

CAE Assessment

The CAE supports management's self-assessment and the extension of deadlines in light of the interdependencies with the Procure-to-Payment project.

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Regional Contracting 2011

Recommendation # 10 (IA Ref# 2011-45-10)	Risk Ranking: Medium
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Requirements Definition

It is recommended that the Director General, Administration Directorate, introduce measures that will ensure that work requirements are defined and documented prior to the start of the contracting process.

Management Response and Action Plan

Agreed. The Director General, Administration Directorate, will develop policy instruments outlining how to adequately define and document work requirements. In addition, training will be provided in this area and communiqués will be issued. This element will also be incorporated into the Compliance and Monitoring Program, in that a sampling of contract files will validate the definition of work requirements. Target Date February 2012.

Last Update (September 2012)

Several key components of the action plan were previously completed, as outlined in the March 2012 update. In regards to the two remaining components, the Monitoring and Compliance Program should be staffed and implemented by March 31, 2013, and a policy suite for contracting is scheduled to be presented at Executive Committee on November 14, 2012 for approval and will be issued by December 2012.

LEVEL 4 // Estimated Date of Completion: March 31, 2013

Update:

<input type="checkbox"/> Level 1 (No or insignificant progress)	<input checked="" type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

Current Status as at March 31, 2013 (please provide details on progress against the management action plan):

Further to the September 2012 update, the Monitoring and Compliance Program will be implemented in June 2013 following indeterminate staffing action. The implementation has been delayed due to difficulties and delays in obtaining staffing approvals.

The Contracting policy suite was approved at Executive Committee in November 2012 and was issued December 14, 2012.

Estimated Date of Completion:

June 30, 2013

CAE Assessment

The CAE supports the extension of the deadline in light of system-wide staffing delays stemming from Budget 2012.

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Regional Contracting 2011

Recommendation # 11 (IA Ref# 2011-46-11)	Risk Ranking: High
Procurement It is recommended that the Director General, Administration Directorate, introduce measures to enforce compliance with the issues noted above.	

Management Response and Action Plan
<p>Agreed. The Director General, Administration Directorate, will create policy instruments, develop a Compliance and Monitoring Program, and provide training to address compliance issues. The Policy framework for the Compliance and Monitoring Program will contain express provisions on reporting of non-compliance and to enforce compliance with contracting rules on Contract Splitting, Sole Source Contracts and After-the-Fact Contracts. The Compliance and Monitoring Program will consist of an initial review before the contract is awarded for contracts over a predetermined value or for sensitive files, in addition to a post-contract award compliance review based on a target percentage of contracts within predetermined value ranges – for example, up to five percent of contracts valued between \$1,000 and \$10,000 will be subject to annual review. There will be ad hoc targeted reviews based on commodities as determined by the Director of Contracting and Materiel Management. Target Date February 2012.</p> <p>Contracting compliance will be added to the performance agreements of all Direct Reports. Completed.</p> <p>Multi-year procurement vehicles will be developed to meet recurring requirements such as printing, court reporting, transcription and process servers. Target Date February 2012.</p>

Last Update (September 2012)
<p>Further to the March 2012 update, a Request for Standing Offer (RFSOs) for court reporters/transcription in British Columbia is posted and a standing offer should be issued by March 2013. RFSOs for other provinces with significant volume of requirements will follow. A draft RFSO for process servers has been prepared and should be posted for Ontario by January 2013.</p> <p>All the standing offers for process servers, court reporting/transcription should be issued by December 2013.</p> <p>LEVEL 4 // Estimated Date of Completion: December 2013</p> <p>March 2012 Update: Contracting training was developed and provided in the regions between September and December 2011. (100% complete)</p> <p>Draft policy instruments, Contracting Policy and Guidelines for Managing Services Contracts are prepared. These two documents will be reviewed and approved. Target for approval is September 2012. (75% complete).</p> <p>The Compliance and Monitoring program was developed and piloted in February and March 2012. A staffing process for a Quality Assurance Officer is complete and staffing appointment is required to implement the program. (80% complete) Target date: October 2012</p> <p>The Contracting and Materiel Management Division has draft solicitation documents for process servers and court reporting and transcription on a regional or provincial basis. These solicitations will be done on a phased basis due to the number of solicitations required and the varying provincial requirements that govern these services. These documents will be finalized and the posting will start in June 2012 with a target date of the fall for the first agreements. All agreements are planned be in place by December 2013. (50% completed)</p>

Commented [DT3]:
Added this March 2012 update for context during the updating process.

Update:			
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input checked="" type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)		
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)		
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)		
Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Regional Contracting 2011

<input type="checkbox"/>	implement)	<input type="checkbox"/>
Current Status as at March 31, 2013 (please provide details on progress against the management action plan):		
<p>The Contracting policy suite was approved at Executive Committee in November 2012 and was issued December 14, 2012. The Guidelines for Managing Services Contracts are currently in consultation and should be promulgated by June 15, 2013.</p> <p>The Monitoring and Compliance Program will be implemented in June 2013 following indeterminate staffing action. The implementation has been delayed due to difficulties and delays in obtaining staffing approvals.</p> <p>Bids have been evaluated for the court reporter / transcription requirements in British Columbia and agreements will be awarded in April 2013. As well, The requests for standing offers (RFSOs) for court reporters/transcription were posted in March for Manitoba, Saskatchewan and Alberta. A RFSO for processes servers in Ontario was also posted.</p> <p>All the standing offers for process servers and for court reporting/transcription should be issued by December 2013.</p>		
Estimated Date of Completion:		
December 15, 2013		
CAE Assessment		
The CAE supports the extension of the deadline to December 2013.		

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPR:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Regional Contracting 2011

Recommendation # 12 (IA Ref# 2011-47-12)	Risk Ranking: Medium
Solicitation Activities	
It is recommended that the Director General, Administration Directorate, establish measures to enforce that contracting files demonstrate that solicitation activities and decisions have been conducted in a transparent manner.	

Management Response and Action Plan
Agreed. The Director General, Administration Directorate, will create policy instruments, develop a Compliance and Monitoring Program, and provide training to ensure that contracting files demonstrate that solicitation activities and decisions have been conducted in a transparent manner. The Compliance and Monitoring Program Framework will contain express provisions on enforcement consequences. Target Date February 2012.

Last Update (September 2012)
Further to the March 2012 update, the Monitoring and Compliance Program should be staffed and implemented by March 31, 2013, and a policy suite for contracting is scheduled at Executive Committee for November 14, 2012 for approval and will be issued by December 2012.
LEVEL 4 // Estimated Date of Completion: March 31, 2013

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress) <input type="checkbox"/> Level 2 (Planning Stage: plans created & approved) <input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input checked="" type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation) <input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented) <input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

Current Status as at March 31, 2013 (please provide details on progress against the management action plan):
Most of the key components were previously completed, as outlined in the September 2012 update.
The Monitoring and Compliance Program will be implemented in June 2013 following indeterminate staffing action. The implementation has been delayed due to difficulties and delays in obtaining staffing approvals.
The Contracting policy suite was approved at Executive Committee in November 2012 and was issued December 14, 2012.
Estimated Date of Completion:
June 30, 2013

CAE Assessment
The CAE supports extending the deadline for this recommendation in light of system-wide staffing delays stemming from Budget 2012.

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Tax Law Services Ottawa 2011

TAB 15: Tax Law Services Ottawa Section

Summary:

Tab	Audit Name	Audit Date	MAPs Outstanding for the Spring 2013 Exercise	# of MAPs to be Closed in Spring 2013 Exercise
15	Tax Law Services Ottawa Section	July 2011	1	0

[Back to Table of Contents](#)

Coordinator Name:		Tel#:	
OPI:	Jade Boucher	Tel#:	613-957-1375
Also sent to:	Micheline Van-Erum 613-957-4811		

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Tax Law Services Ottawa 2011

Recommendation # 2 (IA Ref# 2011-62-2)	Risk Ranking: Medium
Human Resource Planning	
It is recommended that the Director, TLS – Ottawa Section ensure that a formal TLS succession plan is developed and updated on a regular basis.	

Management Response and Action Plan
Agreed. The TLS – Ottawa Section will work in close collaboration with the office of the ADAG, TLS Portfolio to develop and implement a national succession plan. Completion date: In conjunction with the regional offices and the TLS – Ottawa Section, the TLS Portfolio will develop a national succession plan by the end of this fiscal year. This plan will be updated on a regular basis.

Last Update (September 2012)
L'analyse des écarts et la préparation du plan de relève national ont été reportées contenu que le plan d'action du Portefeuille visant à mettre en œuvre les réductions budgétaires n'est pas finalisé.
LEVEL 1 // Estimated Date of Completion: March 31, 2012

Update:	
<input checked="checked" type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
Current Status as at March 31, 2013 (please provide details on progress against the management action plan):	
<p>The analysis of the gap and the development of a formal TLS succession plan for each office continue to be delayed. The delay is due to TLS budget reductions and commitments under the Economic Action Plan 2012, with full implementation of the Portfolio initiatives expected by March 31, 2015. During this period, the TLS is continuing to review with the CRA client the various levels of services needed, and all TLS Sections will continue to participate in department-wide reductions in the number of its employees. In addition, the Portfolio has delayed developing its national succession plan in order to be aligned with a new departmental initiative to standardize the succession planning process department-wide. In the interim, the Portfolio will discuss any critical gaps at National Tax Board of Directors meetings and continue to take appropriate actions for TLS Sections on a nationally coordinated basis.</p>	
Estimated Date of Completion: March 31, 2015	

CAE Assessment
The CAE supports extending the deadline in light of the significant changes in the operating environment stemming from Budget 2012.

Coordinator/Name:		Tel#:	
OPI:	Jade Boucher	Tel#:	613-957-1375
Also sent to:	Micheline Van-Erum 613-957-4811		

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH
Audit Name: Tax Law Services Prairie Region 2011**

TAB 16: Tax Law Services Prairie Region

Summary:

Tab	Audit Name	Audit Date	MAPs Outstanding for the Spring 2013 Exercise	# of MAPs to be Closed in Spring 2013 Exercise
16	Tax Law Services Prairie Region	July 2011	1	1

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Coordinator Name:		Tel#:	
OPI:	Rhonda Nahorniak	Tel#:	780-495-4324
Also sent to:	Paul Shenher 780-495-2978		

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Tax Law Services Prairie Region 2011

Recommendation # 3 (IA Ref# 2011-70-3)	Risk Ranking: Low
Administration of Financial Resources It is recommended that the Regional Director, TLS – Prairie Region, in conjunction with the Information Management Branch, ensure that administrative assistants are given the capability to view IFMS reports from their workstations.	

Management Response and Action Plan
Agreed. The Director will ensure that administrative assistants are given capability to review IFMS reports from their workstations, along with any necessary training. Completion Date: December 31, 2011.

Last Update (September 2012)
The AS2 in Winnipeg was provided with some training in May in conjunction with the training offered in relation to the Cost Recovery Improvement Project. Both the AS2 and AS1 will be provided with further training in Winnipeg on November 28th. Due to scheduling conflicts, the training in Edmonton of the AS1 and AS2 had to be rescheduled. Both the AS1 and AS2 will be provided with training on November 27th in Edmonton. LEVEL 4 // Estimated Date of Completion: November 28, 2012

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input checked="" type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
Current Status as at March 31, 2013 (please provide details on progress against the management action plan):	
The Administrative Assistants have been provided with access to IFMS reports and have received the necessary training.	
Estimated Date of Completion:	
Action Plan item is fully implemented.	

CAE Assessment
The CAE supports that this recommendation be closed as fully implemented.

Coordinator Name:		Tel#:	
GPI:	Rhonda Nahorniak	Tel#:	780-495-4324
Also sent to:	Paul Shenher 780-495-2978		

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Acquisition Cards 2012

TAB 17: Acquisition Cards

Summary:

Tab	Audit Name	Audit Date	MAPs Outstanding for the Spring 2013 Exercise	# of MAPs to be Closed in Spring 2013 Exercise
17	Acquisition Cards	March 2012	1	0

[Back to Table of Contents](#)

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Acquisition Cards 2012

Recommendation # 1 (IA Ref# 2012-1-1)	Risk Ranking: Low
Acquisition Card Payment Discounts	
It is recommended that the CFO implement in IFMS the ability to pay the card provider with a single payment.	

Management Response and Action Plan
Agreed. This functionality, which is part of the Federal Government's SAP footprint, is scheduled to be implemented as a part of the Procure-to-Pay re-engineering project. This project is pending approval from the Department's Executive Committee. The project is planned to be done in two phases. The first phase will consist of producing the business blueprint. The second phase will consist of implementing the new functionality in the Integrated Financial and Materiel System (IFMS) and performing the business transformation required. The second phase is planned to be completed by the end of fiscal year 2013-14.

Last Update (September 2012)
This functionality, which is part of the Federal Government's SAP footprint, continues to be scheduled for implementation as a part of the Procure-to-Payment re-engineering project. The "Procure-to-Payment at Justice Project" was officially launched in November 2012 with an objective to have the business blueprint completed as a first phase. The second phase will consist of implementing the new functionality in IFMS and performing the business transformation required. The second phase is planned to be completed by the end of fiscal year 2013-14. To be noted is that this project is an inherent part of the CFO Branch cost-savings initiative.
LEVEL 2 // Estimated Date of Completion: April 2014

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input checked="" type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

Current Status as at March 31, 2013 (please provide details on progress against the management action plan):
Justice is now a pilot department for the PWGSC IFMS Program Office (IFMS Core) procure to payment solution / footprint for all federal government departments using SAP.
Justice will be involved in all the steps of the pilot process, including the building, testing, integration, and roll-out steps. This will facilitate a robust knowledge transfer as the departmental subject matter experts (SMEs) will work collaboratively with the IFMS Program Office throughout the pilot process.
The timeline for the implementation of the procure to payment solution is government wide and is now estimated to be by the end of fiscal year 2014-2015.
Estimated Date of Completion:
March 31, 2015

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Acquisition Cards 2012

CAE Assessment
The CAE supports extending the deadline for this recommendation in light of the interdependencies with the Procure-to-Payment project.

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Official Languages 2012

TAB 18: Official Languages

Summary:

Tab	Audit Name	Audit Date	MAPs Outstanding for the Spring 2013 Exercise	# of MAPs to be Closed in Spring 2013 Exercise
18	Official Languages	March 2012	3	2

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Coordinator Name:	Jo-Anne Brisebois	Tel#:	(613) 957-4220
OPI:	Joan Pratt	Tel#:	(613) 941-1867
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Official Languages 2012

Recommendation # 1	Risk Ranking: Medium
Roles, Responsibilities and Accountabilities	
<p>It is recommended that the Director General, Human Resources and Professional Development Directorate undertake additional efforts to communicate the distinctive official languages-related roles, responsibilities and accountabilities of the Corporate Staffing, Official Languages and Recognition Unit in relation to those of the other areas within the Department (i.e. the Office of La Francophonie, Justice in Official Languages and Legal Dualism; and the Official Languages Law Section.)</p>	

Management Response and Action Plan
<p>Agreed. The Director General, Human Resources and Professional Development Directorate (HRPDD) agrees to:</p> <ul style="list-style-type: none"> • Offer new employee NCR orientation sessions, which include an OL component to highlight and clarify the roles and responsibilities of the various units • Make further updates to OL site on HR and You ensuring that roles and responsibilities are clearly defined • Work in collaboration with the other units to ensure that their websites provide a link to the OL site contained within HR and You (i.e. cross referencing with the sites from the Office of La Francophonie, Justice in OL and Legal Dualism and the OL Law Section) and that their sites reflect the roles as outlined in the new OL Framework • Develop and disseminate a communiqué to all delegated managers detailing the roles with in the new OL Framework • Raise awareness through ad hoc attendance at Portfolio/Branch/Sector management team meetings • Ensure that OL Champions Network clarify roles within their respective organizations.

Last Update (September 2012)
n/a (Update start 6 months after Report is finalized.)

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input checked="" type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

Current Status as at March 31, 2013 (please provide details on progress against the management action plan):
<p>All the proposed actions have been implemented as described and within the allocated timeframes detailed in the Management Response table (see attached). Changes to the OL portion of the Department's Intranet site were made in the summer of 2012 to clarify roles and responsibilities. Further updates were made in November, 2012 to align departmental policies with revised TBS policies. These were communicated in JustInfo in March of this year. Awareness continues to be raised through attendance at management team meetings on an ad hoc basis and other methods, e.g. an email sent on June 22, 2012 on official languages requesting that managers in the Management Sector allocate time at an upcoming team meeting to review with their employees a deck on official languages.</p>
Estimated Date of Completion: N/A

Coordinator Name:	Jo-Anne Brisebois	Tel#:	(613) 957-4220
OPI:	Joan Pratt	Tel#:	(613) 941-1867
Also sent to:			

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Official Languages 2012

n/a

CAE Assessment
The CAE supports that this recommendation be closed as fully implemented.

Coordinator Name:	Jo-Anne Brisebois	Tel#:	(613) 957-4220
OPI:	Joan Pratt	Tel#:	(613) 941-1867
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Official Languages 2012

Recommendation # 2	Risk Ranking: Low
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Mechanism to Share Issues Internally

It is recommended that the Director General, Human Resources and Professional Development Directorate formalize and communicate an internal process to ensure that issues (e.g. number of complaints, trends) arising from complaints received through the Office of the Commissioner of Official Languages, are brought to the attention of the Network of Sectoral and Regional Official Languages Champions.

Management Response and Action Plan

Agreed. The Director General, Human Resources and Professional Development Directorate agrees that there is a need to ensure that official languages issues are effectively addressed internally and that there is a scope for reporting to the OL Sectoral Champions Network globally on issues relating to official languages given the role these champions play in raising awareness of OL in the workplace. The Director General, Human Resources and Professional Development Directorate will accordingly formalize and communicate internal processes to ensure that aggregate information about official languages-related matters, are brought to the attention of the OL Sectoral Champions.

Since the conduct of the audit, a new OL Steering Committee has been put in place and serves as a forum to discuss OL issues and trends.

Last Update (September 2012)

n/a

Update:

<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input checked="" type="checkbox"/> Level 5 (Full Implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

Current Status as at March 31, 2013 (please provide details on progress against the management action plan):

Since the audit, the Senior OL Advisor has established and maintains a direct link with the new OL Champion and also with the new Co-Champion who chairs the OL Sectoral Champions Network. At the April 10th meeting the group discussed the committee's mandate as well as the possible creation of a departmental OL Web Portal which would combine, into one site, the revamped Corporate OL Intranet site as well as the sites from the Office of La Francophonie, Justice in OL and Legal Dualism and the OL Law Section. The creation of the Portal may be delayed because of a review and update to the Intranet structure as a whole. Regardless, work on the Portal will continue and structural revisions made as needed.

Estimated Date of Completion: N/A

CAE Assessment

The CAE supports closing this recommendation as fully implemented.

Coordinator Name:	Jo-Anne Brisebois	Tel#:	(613) 957-4220
OPI:	Joan Pratt	Tel#:	(613) 941-1867
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Official Languages 2012

Recommendation # 3	Risk/Ranking: Low
Resources <p>It is recommended that the Director General, Human Resources and Professional Development Directorate formally review the current organizational structure of the Corporate Staffing, Official Languages and Recognition Unit in light of current requirements and expected level of service to ensure that resources have been allocated appropriately.</p>	

Management Response and Action Plan
<p>Agreed. The Director General, Human Resources and Professional Development Directorate will review the current organizational structure of the OL unit to ensure that it is adequately resourced and that expected levels of service can be met. Some changes have already been made. The work description for the OL Advisor has been reviewed and is now classified at the AS-5 level rather than PE. This has allowed the Department to have access to a much broader pool of candidates given that the majority of OL coordinators in government are classified in the AS Group. In addition, 50% of another resource is now dedicated to providing support to the OL Advisor and 50% of the Manager position. Further consideration will be given in the context of changes to internal services as appropriate.</p>

Last Update (September 2012)
n/a

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress) <input type="checkbox"/> Level 2 (Planning Stage: plans created & approved) <input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input checked="" type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation) <input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented) <input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
Current Status as at March 31, 2013 (please provide details on progress against the management action plan):	
<p>Classification of the Senior OL Advisor position to an AS-05 group and level, as referenced above, lead to the appointment of a seasoned OL Advisor. This has led to the effective management of the parts of the OL Program that fall under the HR Directorate's responsibility. Changes to internal services and other factors have made the dedication of resources to support the OL Advisor a challenge.</p>	
Estimated Date of Completion:	
September, 2013	

CAE Assessment
<p>The CAE supports the extension of the deadline for this recommendation to September 2013 in light of system-wide staffing delays stemming from the Budget 2012.</p>

Coordinator Name:	Jo-Anne Brisebois	Tel#:	(613) 957-4220
OPI:	Joan Pratt	Tel#:	(613) 941-1867
Also sent to:			

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Legislative Services 2012

TAB 19: Legislative Services

Summary:

Tab	Audit Name	Audit Date	MAPs Outstanding for the Spring 2013 Exercise	# of MAPs to be Closed in Spring 2013 Exercise
19	Legislative Services	October 2012	1	0

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Coordinator Name:	Ralph Mercedat	Tel#:	(613) 957-0014
OP:	Philippe Hallée	Tel#:	(613) 941-4178
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Legislative Services 2012

Recommendation # 1	Risk Ranking: Low
Resource Utilization	
It is recommended that the Chief Legislative Counsel, Legislative Services Branch (LSB) introduce a formalized process for resource planning and monitoring on a project basis.	

Management Response and Action Plan
Agreed. The Chief Legislative Counsel, LSB will review and analyze past complex legislative projects in order to integrate and develop project management principles that are sensitive to the operational demands of the Branch. The Chief Legislative Counsel, LSB will then introduce a more formalized process for allocating and monitoring resources that reflects the particular context of the Branch. Targeted Completion Date: March 31st, 2013.

Last Update (September 2012)
n/a

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input checked="" type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
Current Status as at March 31, 2013 (please provide details on progress against the management action plan):	
<p>We have hired a consulting firm to review and analyze past legislative files. The consulting firm conducted interviews of all the key personnel involved in the drafting process to understand the current practices in legislative projects. They found that LSB is only one player in a broader legislative development process, and that external issues have a major influence on the ability of LSB to deliver on project objectives. Based on these interviews and the examination of our existing practices, they developed principles for project management, tailored for legislative projects. Although they recognized that many of these principles were already practiced at LSB, they felt that there were opportunities for standardizing and improving our project management tools.</p> <p>The consulting firm provided a detailed description of the characteristics of the project management tools that LSB could implement within legislative projects. In the upcoming months, LSB will continue to work with the consulting firm to improve our existing project management tools and create new ones. Once the tools have been fully developed, we will run pilot projects to test them. At the conclusion of the pilot period, we will review and assess them, and then seek to apply them more broadly.</p>	
Estimated Date of Completion:	
March 31, 2014	

Coordinator Name:	Ralph Mercedat	Tel#:	(613) 957-0014
OPI:	Philippe Hallée	Tel#:	(613) 941-4178
Also sent to:			

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Legislative Services 2012

CAE Assessment

The CAE supports management's self-assessment, noting that the auditee requested to participate in the MAP follow-up process even though it had only been five months since the audit was completed.

Coordinator Name:	Ralph Mercedat	Tel#:	(613) 957-0014
OPI:	Philippe Hallée	Tel#:	(613) 941-4178
Also sent to:			

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: REPORT OF THE AUDITOR GENERAL OF CANADA 2007

TAB 20: OAG

Summary:

Tab	Audit Name	Audit Date	MAPs Outstanding for the Spring 2013 Exercise	# of MAPs to be Closed in Spring 2013 Exercise
20	OAG	2007	3	0

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Coordinator Name:	Jo-Anne Brisebois	Tel#:	(613) 957-4220
OPI:	Patrick Vézina / C. Quinn (5.93)	Tel#:	(613) 957-4670
Also sent to:	Jodi Bromley (5.93)		

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: REPORT OF THE AUDITOR GENERAL OF CANADA 2007

OAG Audit Recommendation # 5.25 - 2	Risk Ranking:
Report 2007-05 – Chapter 5	
Managing the Delivery of Legal Services to Government – Department of Justice Canada	
In addition to its current management of alternative dispute resolution initiatives, Justice Canada should ensure that it clearly defines each initiative's objectives, estimates the potential cost savings and formally reviews the outcome of initiatives against their objectives	

Management Response and Action Plan
The Department agrees with the Auditor General's recommendation, which is consistent with the recent review of the Department's dispute resolution initiative that has resulted in a new mandate focused on providing services to departments supporting long-term prevention and early resolution of disputes. These client-focused services include systems design, legal advisory support, and training, all of which are linked to the departmental priorities of improving practice management and managing the volume of litigation.

Last Update (June 2012)
2. Development of Performance Measurement Tools for Dispute Resolution Initiatives
In 2011-2012, the Department of Justice continued to advance its multi-year project aimed at developing performance measurement tools for DR initiatives.
A draft Performance Measurement Framework (PMF) was developed in June 2011. The PMF contains a number of elements aimed at ensuring that Justice has systems in place for regular reporting on DR, ongoing and methodologically sound analysis of the value of DR, and information to support operational decision-making on DR in the management of the litigation inventory. In addition, the framework aims to ensure that client departments will have support and advice from Justice in the use of performance measurement in their own DR programs and initiatives.
The following key elements of the PMF were developed in fiscal year 2011-2012:
<ul style="list-style-type: none"> • A preliminary methodology for quantifying and understanding the impact of various DR mechanisms; • Tools to capture the impact of training and knowledge transfer; and • A draft Guide to Performance Measurement in DR initiatives. (The Guide will be finalized and launched in 2012-2013.)
Several different initiatives are underway to support the development of a DPR performance management regime.
At the request of AMREC, timelines and deliverables were re-examined with the objective of accelerating the work to respond to the Auditor General's specific recommendation. A new work plan is being developed for approval by the end of July. Consideration on future priorities will be re-examined in the context of the Economic Action Plan 2012.
Assessment Level: Level 3 - Preparations for implementation

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input checked="" type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
Current Status as at March 31, 2013 (please provide details on progress against the management action plan):	
At the time of the audit, strategies examined by the OAG related to a DR Fund which had been approved by Treasury Board. The DR Fund is no longer in place. This recommendation is therefore considered obsolete.	

Coordinator Name:	Jo-Anne Brisebois	Tel#:	(613) 957-4220
OP:	Patrick Vézina / C. Quinn (5.93)	Tel#:	(613) 957-4670
Also sent to:	Jodi Bromley (5.93)		

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: REPORT OF THE AUDITOR GENERAL OF CANADA 2007

Estimated Date of Completion:

CAE Assessment
In order to support the assessment that the recommendation is obsolete, the following information / clarification is required: the date at which the Dispute Resolution Fund expired; a management statement that the Department is no longer undertaking DR initiatives; and, a management statement clarifying that dispute resolution is considered and discussed with clients on all litigation matters where DR is a potential option for resolution of the matter.

Coordinator Name:	Jo-Anne Brisebois	Tel#:	(613) 957-4220
OPI:	Patrick Vézina / C. Quinn (5.93)	Tel#:	(613) 957-4670
Also sent to:	Jodi Bromley (5.93)		

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: REPORT OF THE AUDITOR GENERAL OF CANADA 2007

OAG Audit Recommendation # 5.62 - 1 Report 2007-05 – Chapter 5	Risk Ranking:
Managing the Delivery of Legal Services to Government – Department of Justice Canada Justice Canada should develop a quality management system or systems for each of its practices to provide senior management with ongoing and reliable assurance that all services meet established minimum quality standard.	

Management Response and Action Plan The Department agrees with the Auditor General's recommendation and will build on the elements of its quality work recognized by the Office of the Auditor General with a view to having a sound quality management approach.

Last Update (June 2012)
1. Quality Assurance Framework (QAF) The Department's QAF initiative encompasses three parts, each composed of unique underlying pillars: <ul style="list-style-type: none"> • Part 1 provides contextual information (e.g., the types of legal services delivered, and the Department's service delivery structure and roles and responsibilities) and a definition of "quality" legal services and related quality service standards; • Part 2 provides a detailed inventory of quality assurance tools and processes currently in place across the Department to meet the quality service standards; and • Part 3 will identify quality assurance indicators and will establish an appropriate governance strategy (including functional authority, reporting and continuous improvement), communications plan and implementation plan. <p>Revisions to the QAF were made pursuant to a comprehensive research paper prepared in 2011 that provided globally accepted definitions and practices from the International Organization for Standards (ISO) and precedents from international, federal, provincial and other government institutions, non-government organizations and legal services providers. Findings from this research paper and further feedback from members of the Justice Quality Assurance Working Group and other internal stakeholders were reflected in revisions to the format and content of Parts 1 and 2 of the QAF and informed work underway on Part 3. (The Working Group has had six meetings so far.)</p> <p>Recommendations regarding the underlying pillars of the QAF will be considered by senior management in summer 2012. The complete QAF is expected to be presented to senior management by the end of 2012. Roll-out of the QAF is expected to commence in early 2013.</p>
Assessment 2102: Level 3 - Preparations for implementation

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input checked="" type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
Current Status as at March 31, 2013 (please provide details on progress against the management action plan):	
QAF was fully endorsed by Management Committee on March 7, 2013 and by Executive Committee on March 27, 2013. A QAF is now in place at Justice for the provision of high quality legal services to the Government. The Management Sector considers this recommendation completed.	

Coordinator Name:	Jo-Anne Brisebois	Tel#:	(613) 957-4220
OPI:	Patrick Vézina / C. Quinn (5.93)	Tel#:	(613) 957-4670
Also sent to:	Jodi Bromley (5.93)		

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: REPORT OF THE AUDITOR GENERAL OF CANADA 2007

Estimated Date of Completion:

CAE Assessment
In order to support a level 5 assessment, evidence is required to demonstrate that the Quality Assurance Framework is able to provide senior management with ongoing and reliable assurance that all services meet minimum quality standards.

Coordinator Name:	Jo-Anne Brisebois	Tel#:	(613) 957-4220
OPI:	Patrick Vézina / C. Quinn (5.93)	Tel#:	(613) 957-4670
Also sent to:	Jodi Bromley (5.93)		

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: REPORT OF THE AUDITOR GENERAL OF CANADA 2007

OAG Audit Recommendation # 5.62 - 2 Report 2007-05 – Chapter 5	Risk Ranking:
Managing the Delivery of Legal Services to Government – Department of Justice Canada	
Justice Canada should develop a quality management system or systems for each of its practices to provide senior management with ongoing and reliable assurance that all services meet established minimum quality standard.	

Management Response and Action Plan
The Department agrees with the Auditor General's recommendation and will build on the elements of its quality work recognized by the Office of the Auditor General with a view to having a sound quality management approach.

Last Update (June 2012)
2. Legal Risk Management (LRM)
The main goal of the LRM Renewal initiative is to improve Legal Risk Management (LRM) through a harmonized application of the LRM system across all Justice sectors of activity (i.e., litigation, advisory and legislative) by providing standardized LRM tools, communications and practices that support counsel and clients.
The Department completed Phase I of the LRM Renewal initiative. Based on the results of extensive national consultations and pilot projects, recommendations in support of an improved and comprehensive LRM process, including the introduction of a new LRM Grid and Impact Table were presented to and approved by senior management on March 7, 2012.
Work in the context of Phase II of the LRM Renewal initiative started in May 2012 and essentially focuses on the elaboration of reference documents pertaining to communication of legal risks and on LRM roles and responsibilities, as well as on the elaboration of a new governance framework for LRM. Recommendations flowing from Phase II will be presented to senior management in October 2012.
The launch of the new revamped LRM Framework will commence in December 2012 and its implementation will take place from January to March 2012.
Assessment Level: Level 4 - Substantial implementation

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input checked="" type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
Current Status as at March 31, 2013 (please provide details on progress against the management action plan):	
Roll-out of LRM Renewal is now under way, including national training of counsel and paralegals. This activity is consequently considered completed for the purposes of this audit.	
Estimated Date of Completion:	

CAE Assessment
In order to support a level 5 assessment, evidence is required to demonstrate that the LRM Renewal initiatives provide senior management with ongoing and reliable assurance that all services meet established minimum quality standards.

Coordinator Name:	Jo-Anne Brisebois	Tel#:	(613) 957-4220
OPI:	Patrick Vézina / C. Quinn (5.93)	Tel#:	(613) 957-4670
Also sent to:	Jodi Bromley (5.93)		

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: REPORT OF THE AUDITOR GENERAL OF CANADA 2007

OAG Audit Recommendation # 5.93	Risk Ranking:
Report 2007-05 – Chapter 5	
Managing the Delivery of Legal Services to Government – Department of Justice Canada	
Justice Canada should make improvements to its resource management. The Department should:	
<ul style="list-style-type: none"> - use management information on workload volumes and costs for all of its legal services to better monitor trends, plan, set priorities, manage resources, analyze service delivery options, and identify opportunities for controlling costs; - work with client departments to effectively plan, manage, and improve the cost-effectiveness of their financial arrangements with a view to managing demand for legal services and thereby reducing costs; and - ensure that a senior manager with the necessary authority leads the improvement of management practices at the Department and oversees implementation of these changes. 	

Management Response and Action Plan
<p>The Department agrees with the Auditor General's recommendation. The Department of Justice Canada will continue the work underway to develop approaches to further develop its capacity to use management information to enhance management decisions, and regularize its cost recovery agreements with government departments.</p> <p>The Department is currently working on putting in place an initiative to better coordinate and integrates its law management practices. The Department will, at the same time, review its management practices to identify and put in place corporate reports to provide management information to support departmental decision making. Senior management authority to lead our work on management practices will be strengthened.</p>

Last Update (June 2012)
<p>Justice's legal case management application (iCase) and Echo (a companion reporting tool that complements the reporting capabilities of iCase) continue to be used to support corporate reporting needs and to assist Justice managers and client departments in effectively planning, setting priorities, managing resources and managing the demand for legal services. A variety of initiatives have been piloted using Echo to generate standard information on the volume of files, workload effort (hours), and levels of legal risk and complexity, and to respond to specific management information requirements. Documentation on the use of Echo has been developed.</p> <p>The results of the Echo pilots were used to design legal services management dashboards. These dashboards provide case management information to support the planning and management of resources and management of the demand for legal services. The dashboards were well received by senior management. Documentation on the use of the dashboards is being developed and preparations for deployment are underway.</p> <p>As part of a series of changes being introduced to improve cost recovery practices, the Department implemented a more standard approach to the development of cost recovery forecasts for individual client organizations. To support these efforts, Echo was used to generate historical information on level of effort and file inventory data for client organizations. This information supports planning and forecasting for the provision of legal services and is now available directly through the legal services management dashboards.</p> <p>Justice also implemented an improved interface that defines and provides easy access to the suite of iCase reports available to support the management of legal services.</p> <p>Justice is also participating in an initiative led by the Chief Information Officer Branch of the Treasury Board Secretariat aimed at selecting case management software to support the business requirements of departments and agencies across the Government of Canada.</p> <p>Business process models (BPMs) outlining activities related to the management and delivery of legal services continue to be used to support managers and iCase users in identifying business requirements and managing resources.</p> <p>In order to better integrate managers across the Department in the decision-making and information-sharing processes, Justice introduced changes that streamlined its overall governance structure. The former Law Practice Management Committee and other departmental committees that dealt with management and financial issues have now been consolidated into one entity. The Law Practice Management Directorate within the Management Sector now makes recommendations to senior management through the Department's new governance structure and continues to work in collaboration with various working groups and advisory committees to advance key initiatives related to the management of the practice of law.</p>
Assessment Level: Level 4 – Substantial implementation

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MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: REPORT OF THE AUDITOR GENERAL OF CANADA 2007

Current Status as at March 31, 2013:

<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input checked="" type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

Since the 2007 OAG Audit on Managing the Delivery of Legal Services to Government, Justice Canada has notably improved its resource management practices.

- An enhanced suite of tools, processes and standards are enabling the Department to:
 - use management information on workload volumes and costs to better monitor trends, plan, set priorities, manage resources, analyze service delivery options and identify opportunities for controlling legal services costs; and
 - work with client organizations to effectively plan, manage, and improve the cost effectiveness of legal services.
- In 2009-2010, Justice introduced standard templates for Memoranda of Understanding (MOU) with client organizations for the provision of legal services. MOUs support transparent and accountable resource management and enable departments and agencies to effectively plan, monitor and manage their demand for legal services. In August 2012, following the introduction of new business standards related to cost recovery, the Department updated the MOU templates. In January 2013, the Department also updated a key supporting guidance documents that promotes quality and consistency in the development and implementation of MOUs (i.e., the *Accountability Framework for MOUs Related to the Provision of Legal Services*) to reflect the new business standards, roles, responsibilities and processes for cost recovery, and to highlight the importance of joint planning discussions. The Department also developed a revised template for the Planning and Forecasting Annex (entitled Annex B) of the MOU for implementation in 2013-14. The new Annex B template includes an attestation statement to be signed by both the Justice and client Contacts for the Management the MOU confirming that the forecast presented in the MOU reflects the results of joint planning discussions between Justice and the client organization, including consideration of options for controlling legal services costs.
- The development of forecasting tools and enhanced reporting capabilities on the cost of legal services implemented through the Cost Recovery Process Improvement Project, have strengthened the collective ability of Justice and its client organizations to make informed decisions about legal services requirements and associated costs.
- Justice's legal case management application (iCase) and Echo (a companion reporting tool that complements the reporting capabilities of iCase) continue to be used to support corporate reporting needs and to assist Justice managers and client departments in effectively planning, setting priorities, managing resources and managing the demand for legal services. For the past two years, the Department used Echo to generate historical information on level of effort and file inventory data that, together with historical information on cost recoveries, supported joint planning discussions between Justice and client organizations. In 2012-2013, information derived from Echo (and other sources) also provided key input to the development of efficiency measures that focus on managing the demand and cost of legal services and will support the Department in meeting commitments set out in the Government's 2012 Economic Action Plan. Access to Echo was extended and is now being used by financial and business analysts across the Department.
- In December 2012, the Department also commenced a phased implementation of a Legal Services Management Dashboard. The dashboard provides managers with quick and easy access to key legal case management information to support decision making right from their desktop. The various reports presented in the Dashboard help managers to: identify and assess trends; plan, monitor and report on key business activities; manage resources and continuously improve their operations by highlighting areas that may warrant further attention; engage in joint planning discussions with client organizations; and identify options for controlling legal services costs. Guidance material is available to support users in navigating through the various dashboard reports and interpreting information contained therein. In November 2012, an Advisory Committee was established to guide future enhancements to the information presented in the dashboard with a view to expanding the dashboard to include information from other domains (e.g., HR, Finance).
- Business process models developed in 2010-2011, outlining activities related to the management and delivery of legal services are available to support managers and business analysts in identifying business requirements and opportunities for process improvements.

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MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: REPORT OF THE AUDITOR GENERAL OF CANADA 2007

- The Business Practices Division reports on timekeeping compliance to executive management. Timekeeping information supports planning and forecasting, resource management, cost recovery, trend analysis and reporting on results. Regular timekeeping reports help senior management understand the evolution and scope of Justice's activities over time, measured in effort, as well as the level of quality and completeness of timekeeping information for each direct report. Internal Audit is also finalizing an audit on timekeeping compliance which will identify opportunities for continuous improvement in existing practices and management controls.
- Consistent and well-documented business processes, tools and standards are in place to facilitate client engagement, enhance transparency and accountability and help ensure a uniform approach to managing and reporting on the provision of legal services. In 2012-2013, Justice compiled an evergreen list of relevant business processes, tools and standards currently available to support informed decision making by client organizations about their legal services requirements and associated costs, including: guidance material, business standards and related communications developed as part of the Cost Recovery Process Improvement (CRPI) Project; the Budget Management Framework i.e., a formal document that provides context, standards and directions for budget management activities within Justice; a communications strategy and material related to announcements on the legal services rates; Treasury Board (TB) submission protocols (including the Week Ahead Report which lists all client led TB subs); and templates and guidance material related to MOUs for the provision of legal services. The list will be updated as additional processes, tools and standards are introduced in support of continuous improvement.

The Department established the Management Sector in August 2007 and assigned responsibility for implementing the changes recommended by the OAG with respect to law practice management to the ADM, Management Sector. In May 2012, with much of the work in relation to the 2007 OAG Audit completed, some of the work done in the Law Practice Management Directorate (LPMD) within the Management Sector was realigned with other units in the Department and other Divisions within the Sector. The resultant organization, while smaller, continues to provide essential services in relation to our national law practice. The Management Sector makes recommendations to senior management through the Department's governance structure and continues to work in collaboration with various working groups and advisory committees to advance key initiatives related to the management of the practice of law.

Estimated Date of Completion: Completed

CAF Assessment

In light of the observations, key findings and recommendations contained in the draft Audit of iCase / timekeeping compliance, IAB cannot support a level 5 assessment.

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Coordinator Name:	Jo-Anne Brisebois	Tel#:	(613) 957-4220
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**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: 2011 JUNE STATUS REPORT OF THE AUDITOR GENERAL OF CANADA

TAB 21: OAG June 2011 Status Update

Summary:

Tab	Audit Name	Audit Date	MAPs Outstanding for the Spring 2013 Exercise	# of MAPs to be Closed in Spring 2013 Exercise
21	OAG June 2011 Status Update	2011	1	1

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Coordinator Name:	Rahima Kanani	Tel#:	(613) 952-5799
OPI:	Cheryl Driscoll	Tel#:	(613) 948-1977
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: 2011 JUNE STATUS REPORT OF THE AUDITOR GENERAL OF CANADA

OAG Audit Recommendation # 3.80 Report 2011-06 Chapter 3	Risk Ranking:
Internal Audit Departments that have not had an external quality assessment should have an assessment conducted as required by the International Standards for the Professional Practice of Internal Auditing and the Treasury Board Policy on Internal Audit.	

Management Response and Action Plan
Agreed. The Department of Justice is planning to conduct an external quality assessment during the 2011-12 fiscal year.

Last Update (June 2012)
Justice Canada's external quality assessment is currently in process. The results of this assessment will be presented to the Departmental Audit Committee at the first DAC meeting in the new fiscal year.
Assessment Level: Level 3 - Preparations for implementation

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input checked="" type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

Current Status as at March 31, 2013 (please provide details on progress against the management action plan):

Practice Inspection completed July 2012. The Practice Inspection report was presented to DAC in July 2012.

Estimated Date of Completion:

DAC Assessment

Coordinator Name:	Rahima Kanani	Tel#:	(613) 952-5799
OP:	Cheryl Driscoll	Tel#:	(613) 948-1977
Also sent to:			

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: 2011 JUNE STATUS REPORT OF THE AUDITOR GENERAL OF CANADA

Coordinator Name:	Rahima Kanani	Tel#:	(613) 952-5799
OP:	Cheryl Driscoll	Tel#:	(613) 948-1977
Also sent to:			

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

**Audit: Expenditure Controls
Office of the Comptroller General of Canada 2009**

TAB 22: OCG – Expenditure Control

Summary:

Tab	Audit Name	Audit Date	MAPs Outstanding for the Spring 2013 Exercise	# of MAPs to be Closed in Spring 2013 Exercise
22	OCG – Expenditure Control	2009	2	0

[Back to Table of Contents](#)

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

**Audit: Expenditure Controls
Office of the Comptroller General of Canada 2009**

OCG Audit Recommendation 2	Risk Ranking:
Expenditure Controls 2. LDAs should ensure that there is adequate management representation in their governance process that determines or defines risk identification and policies and procedures related to risk based account verification. This representation should come from management with functional responsibility over account verification, management with awareness of pertinent risks to the operations, and those with appropriate decision making authority.	

Management Response and Action Plan
<p>A plan to engage the appropriate levels of management in analyzing risks related to account verification will be established and brought to the attention of senior management by March 2010.</p> <p>This will be followed by a consultative process with regional finance and business managers, and functional managers. The risk areas identified through this process will be formally documented by fall 2010.</p> <p>Subsequently, any necessary modifications to the policies and procedures related to the account verification of specific types of transactions will be considered, further to the results of the risk areas identified.</p> <p>As well, on a periodic basis, risk areas will be reassessed with representation from the appropriate levels of management. (September 2009)</p>

Last Update
<p>Updates for this recommendation were being tracked only by the CFO Branch prior to the March 2013 update. The following updates are on file for this audit recommendation.</p> <p>Sept 2010: A RFP has been prepared and a consultant will be hired to undertake this project. This will be a 3 year project and is expected to be completed during 2012-2013.</p> <p>March 2011: CFOB posted the RFP for this project in January. One bid was received, but unfortunately the bidder was not meeting the mandatory requirements. The RFP was posted a second time in February and the bids are closing March 2, 2011. Also, of note, COFB has sent a request for funding through the spring reserve. The plan is still to get a contractor in before April 1st to get this project started.</p> <p>March 2012: The High Risk Transaction Project has been in effect since May 2011 and it's well on its way. At the moment, the salary and non-salary risk framework is almost complete.</p> <p>Sept 2012: As per the updates provided for internal audit (e.g. ORO-Finance and Administration internal audit recommendation #12), the high risk transactions project is still on track for completion at the end of 12/13.</p>

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

**Audit: Expenditure Controls
Office of the Comptroller General of Canada 2009**

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full Implementation – Structures & processes operating as intended and are fully implemented)
<input checked="" type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
Current Status as at March 31, 2013 (please provide details on progress against the management action plan):	
<p>The High Risk Transactions project has been delayed due to several major factors, such as Budget 2012 and modernization. This project is now considered to be part of the Procure to Payment (P2P) project, as the IFMS Gating Solution for high risk transactions is now an integral part of the IFMS (SAP) P2P solution / blueprint.</p> <p>In regards to P2P, Justice is now a pilot department for the TBS IFMS Program Office (IFMS Core) P2P solution / footprint for all federal government departments using SAP. The timeline for the implementation of the P2P solution is government wide and is now estimated to be by the end of fiscal year 2014-2015.</p>	
Estimated Date of Completion:	
March 31, 2015	
CAE Assessment	
The CAE supports the management self-assessment and notes that the anticipated delays stemming from Budget 2012 and the interdependencies with the Procure-to-Payment project.	

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit: Expenditure Controls
Office of the Comptroller General of Canada 2009

OCG Audit Recommendation 6	Risk Ranking:
Expenditure Controls	
6. LDAs need to develop rigorous sampling plans to monitor the verification process of low risk payments. These should be national in scope and allow for the collection of results indicating systemic errors, best practices, and monitoring of appropriate risk identification.	

Management Response and Action Plan
<p>In 2006-07, a Quality Assurance group was set-up to monitor the effectiveness of the verification process of low and high risk payments on a national sample basis. The first objective in the plan was to satisfy two internal audit reports on travel and hospitality. Reports were provided at the regional and national levels which identified error rates along with corrective action plans.</p> <p>The next objective is to expand the verification sampling process to the remaining low risk payments. However, the Department has recognized that the introduction of a formalized and uniform sampling plan that can be applied department-wide for low risk payments will require a significant level of development effort and system modifications, particularly if the sampling is to be done effectively and efficiently. As an upgrade to the Department's IFMS (accounting system) is planned over the next 2 to 3 years, we will use this opportunity to review our verification business processes, and introduce a consistent systems-based sampling methodology and monitoring plan.</p> <p>(September 2009)</p>

Last Update
<p>Updates for this recommendation were being tracked only by the CFO Branch prior to the March 2013 update. The following updates are on file for this audit recommendation.</p> <p>Sept 2010:</p> <p>A RFP has been prepared and a consultant will be hired to undertake this project. This will be a 3 year project and is expected to be completed during 2012-2013.</p> <p>March 2011:</p> <p>COFB posted the RFP for this project in January. One bid was received, but unfortunately the bidder was not meeting the mandatory requirements. The RFP was posted a second time in February and the bids are closing March 2, 2011. Also, of note, COFB has sent a request for funding through the spring reserve. The plan is still to get a contractor in before April 1st to get this project started.</p> <p>March 2012:</p> <p>The High Risk Transaction Project has been in effect since May 2011 and it's well on its way. At the moment, the salary and non-salary risk framework is almost complete. . A statistical sampling plan will be developed with this project</p> <p>Sept 2012:</p> <p>As per the updates provided for internal audit (e.g. ORO-Finance and Administration internal audit recommendation #12), the high risk transactions project is still on track for completion at the end of 12/13.</p>

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
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Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

**Audit: Expenditure Controls
Office of the Comptroller General of Canada 2009**

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input checked="" type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
Current Status as at March 31, 2013 (please provide details on progress against the management action plan):	
<p>The High Risk Transactions project has been delayed due to several major factors, such as Budget 2012 and modernization. This project is now considered to be part of the Procure to Payment (P2P) project, as the IFMS Gating Solution for high risk transactions is now an integral part of the IFMS (SAP) P2P solution / blueprint.</p> <p>In regards to P2P, Justice is now a pilot department for the TBS IFMS Program Office (IFMS Core) P2P solution / footprint for all federal government departments using SAP. The timeline for the implementation of the P2P solution is government wide and is now estimated to be by the end of fiscal year 2014-2015.</p>	
Estimated Date of Completion:	
March 31, 2015	
CAE Assessment	
The CAE supports the management self-assessment and notes that the anticipated delays stemming from Budget 2012 and the interdependencies with the Procure-to-Payment project.	

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
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**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

**Audit Name: Horizontal Internal Audit of Compliance with the *Common Services Policy*
Office of the Comptroller General of Canada 2011**

TAB 23: OCG Audit

Summary:

Tab	Audit Name	Audit Date	MAPs Outstanding for the Spring 2013 Exercise	# of MAPs to be Closed in Spring 2013 Exercise
23	OCG	2011	1	0

[Back to Table of Contents](#)

Coordinator Name:	Jo-Anne Brisebois	Tel#:	(613) 957-4220
OPI:	Chantal Quinn	Tel#:	(613) 946-4344
Also sent to:	Paul Wheatley (Action Plan II Jodi Bromley; Barbara Ritzen; Daniel Schnob /Carla Sanipelli (#2 a,c,e)		

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

**Audit Name: Horizontal Internal Audit of Compliance with the *Common Services Policy*
Office of the Comptroller General of Canada 2011**

OCG Audit Recommendation (Planned Action I)	Risk Ranking: Medium
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Evaluation of Legal Services

Common Services Organizations (CSO's) should develop practices to measure cost-effectiveness and report on this information to key stakeholders.

Management Response and Action Plan

The Department of Justice accepts this recommendation. The Department of Justice Evaluation Plan 2011-12 to 2015-16 includes coverage of the legal services to government program identified in the Program Alignment Architecture (PAA).

Last Update (March 21, 2012)

Ongoing and planned evaluations of legal services measure economy and efficiency of the delivery legal services.

- 1) Tax Law Services (April 2013)
- 2) Public Law (Expected Approval in May 2013)
- 3) Legislative Services (Ongoing, expected completion May 2013)
- 4) Aboriginal Affairs Portfolio (Project initiated; anticipated completion in March 2014)
- 5) Litigation (Ongoing, expected completion June 2014)
- 6) PSDI Portfolio (Ongoing, expected completion December 2014)
- 7) Business and Regulatory Law Portfolio (Ongoing, expected completion September 2015)
- 8) Central Agencies Portfolio (Ongoing, expected completion March 2016)

Update:

<input type="checkbox"/> Level 1 (No or insignificant progress)	<input checked="" type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

Current Status as at March 31, 2013 (please provide details on progress against the management action plan):

The evaluation methodology has been developed and evaluations are underway in accordance with the timelines indicated below. The evaluation of legal services is now part of the ongoing evaluation plan for the Department. The Management Sector considers this recommendation addressed and ongoing.

Ongoing and planned evaluations of legal services measure economy and efficiency of the delivery legal services.

- 1) Tax Law Services (April 2013)
- 2) Public Law (June 2013)
- 3) Legislative Services (June 2013)
- 4) Aboriginal Affairs Portfolio (Project initiated; anticipated completion in March 2014)
- 5) Litigation (Planning completed; expected completion December 2014)
- 6) PSDI Portfolio (Planning completed; expected completion December 2014)
- 7) Business and Regulatory Law Portfolio (Planning completed; expected completion September 2015)
- 8) Central Agencies Portfolio (Planning nearly completed; expected completion March 2016)

Coordinator Name:	Jo-Anne Brisebois	Tel#:	(613) 957-4220
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Also sent to:	Paul Wheatley (613) 954-2260		

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Horizontal Internal Audit of Compliance with the *Common Services Policy*
Office of the Comptroller General of Canada 2011

Estimated Date of Completion: First cycle of evaluations to be completed by March 2016

CAE Assessment

Management has formulated a series of measures and actions in response to the one OCG recommendation, to measure cost-effectiveness and report the information to key stakeholders. The CAE will assess the overall status of the Management Action Plan once all elements of the MAP have been fully implemented.

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MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

**Audit Name: Horizontal Internal Audit of Compliance with the *Common Services Policy*
Office of the Comptroller General of Canada 2011**

OCG Audit Recommendation	Risk Ranking: Medium
Common Services Organizations (CSO's) should develop practices to measure cost-effectiveness and report on this information to key stakeholders	

Management Response
The Department of Justice accepts this recommendation.

Planned Action
II Identification of cost effectiveness measures and processes for reporting a) Implement business processes, tools and standards to support informed decision making by client organizations about their legal services requirements and associated costs

Status as at March 31, 2013:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input checked="" type="checkbox"/> Level 5 (Full Implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
<p>Consistent and well-documented business processes, tools and standards facilitate client engagement, enhance transparency and accountability and help ensure a uniform approach to managing and reporting on the provision of legal services.</p> <p>Justice has developed an evergreen list of relevant business processes, tools and standards currently available to support informed decision making by client organizations about their legal services requirements and associated costs, including: guidance material, business standards and related communications developed as part of the Cost Recovery Process Improvement (CRPI) Project; the <i>Budget Management Framework</i> i.e., a formal document that provides context, standards and directions for budget management activities within Justice; a communications strategy and material related to announcements on the legal services rates; TB submission protocols (including the Week Ahead Report which lists all client led TB subs); and templates and guidance material related to MOUs for the provision of legal services, including an updated <i>Accountability Framework for Memoranda of Understanding Related to the Provision of Legal Services</i>.</p> <p>The list will be updated as additional processes, tools and standards are introduced in support of continuous improvement, including the development of an overarching <i>Net Vote Revenue Framework</i> encompassing a policy, directives and guidelines as well as standard practices and tools that would enable better planning and monitoring of the costs of processing, reviewing and presenting documentary evidence in litigation.</p>	
Estimated Date of Completion: Completed	

CAE Assessment
Management has formulated a series of measures and actions in response to the one OCG recommendation, to measure cost-effectiveness and report the information to key stakeholders. The CAE will assess the overall status of the Management Action Plan once all elements of the MAP have been fully implemented.

Coordinator Name:	Jo-Anne Brisebois	Tel#:	(613) 957-4220
OPI:	Chantal Quinn	Tel#:	(613) 946-4344
Also sent to:	Cc: Jodi Bromley; Barbara Ritzgen; Daniel Schnob /Carla Sanipelli (Recs #2 a,c,e)		

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

**Audit Name: Horizontal Internal Audit of Compliance with the *Common Services Policy*
Office of the Comptroller General of Canada 2011**

Planned Action	Risk Ranking: Medium
II b) Develop a list of best practices that would contribute to cost savings for consideration by Justice managers and discussion with client organizations	

Status as at March 31, 2013:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input checked="" type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
<p>Developed a list of best practices with clear linkages to cost effectiveness. In March 2013, the list was shared on the Senior Level Executive sharepoint site for the information of managers. It will serve as a guidance document for managers to inform discussions with their client departments on options for better managing the demand and costs of legal services. Many of the items set out in this list align with efficiency measures identified as part of the Process Optimization commitment under the Modernization Strategy. It is understood that the list will evolve as the Department works through the implementation of the Process Optimization measures and if new measures are identified, they will be added.</p>	
Estimated Date of Completion: Completed	

CAE Assessment
<p>Management has formulated a series of measures and actions in response to the one OCG recommendation, to measure cost-effectiveness and report the information to key stakeholders. The CAE will assess the overall status of the Management Action Plan once all elements of the MAP have been fully implemented.</p>

Coordinator Name:	Jo-Anne Brisebois	Tel#:	(613) 957-4220
OPI:	Chantal Quinn	Tel#:	(613) 946-4344
Also sent to:	Cc: Jodi Bromley; Barbara Ritzen; Daniel Schnob /Carla Sanipelli (#2 a,c,e)		

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Horizontal Internal Audit of Compliance with the *Common Services Policy*
Office of the Comptroller General of Canada 2011

Planned Action	Risk/Ranking: Medium
II c) Formalize the practice of documenting the identification and consideration of options available to client organizations for controlling their legal services costs	

Status as at March 31, 2013:	
<input type="checkbox"/> Level 1 (No or insignificant progress) <input type="checkbox"/> Level 2 (Planning Stage: plans created & approved) <input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation) <input checked="" type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented) <input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
<p>Strengthened guidance provided in the Integrated Business Planning process and the <i>Accountability Framework for MOUs Related to the Provision of Legal Services</i> regarding factors to consider and the overall approach for joint planning discussions with clients.</p> <p>Integrated revenue forecasting for individual client organizations into the Department's Integrated Business Planning process. Revenue forecasts are updated quarterly throughout the year.</p> <p>Introduced a revised template for the Planning and Forecasting Annex (entitled Annex B) of the MOU template to include the following attestation statement to be signed by both the Justice and client Contacts for the Management the MOU: "The total forecast presented above reflects the results of joint planning discussions between Justice and [client organization], including consideration of options for controlling legal services costs."</p>	
Estimated Date of Completion: Completed	

CAE Assessment
<p>Management has formulated a series of measures and actions in response to the one OCG recommendation, to measure cost-effectiveness and report the information to key stakeholders. The CAE will assess the overall status of the Management Action Plan once all elements of the MAP have been fully implemented.</p>

Coordinator Name:	Jo-Anne Brisebois	Tel#:	(613) 957-4220
OPI:	Chantal Quinn	Tel#:	(613) 946-4344
Also sent to:	Cc: Jodi Bromley; Barbara Ritzen; Daniel Schnob /Carla Sanipelli (#2 a,c,e)		

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

**Audit Name: Horizontal Internal Audit of Compliance with the *Common Services Policy*
Office of the Comptroller General of Canada 2011**

Planned Action	Risk Ranking: Medium
II d) Through the Client Feedback Survey, measure and report on client satisfaction with the extent to which they have been provided with options for controlling their legal services costs	

Status as at March 31, 2013:

<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input checked="" type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full Implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

As part of the Client Feedback Survey Review, completed consultations with heads of Portfolios and specialized legal services offices regarding the inclusion of the proposed question related to controlling the cost of legal services in January 2013.

The proposed question was tested with client department focus groups in early March.

A recommendation on the inclusion of the proposed question in the Client Feedback Survey will be presented to Senior Management in May/June 2013 for decision.

Estimated Date of Completion: Implementation scheduled for September 2013*

* On track with initial estimated completion date reported to DAC in July 2012 i.e., "Implement in 2013-2014 – first year of the next 3 year survey cycle".

CAE Assessment

Management has formulated a series of measures and actions in response to the one OCG recommendation, to measure cost-effectiveness and report the information to key stakeholders. The CAE will assess the overall status of the Management Action Plan once all elements of the MAP have been fully implemented.

Coordinator/Name:	Jo-Anne Brisebois	Tel#:	(613) 957-4220
OPI:	Chantal Quinn	Tel#:	(613) 946-4344
Also sent to:	Cc: Jodi Bromley; Barbara Ritzen; Daniel Schnob /Carla Sanipelli (#2 a,c,e)		

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

**Audit Name: Horizontal Internal Audit of Compliance with the *Common Services Policy*
Office of the Comptroller General of Canada 2011**

Planned Action	Risk Ranking: Medium
II e) Identify measures of cost effectiveness that would be reported on in the Departmental Performance Report (DPR)	

Status as at March 31, 2013:	
<input type="checkbox"/> Level 1 (No or insignificant progress) <input checked="" type="checkbox"/> Level 2 (Planning Stage: plans created & approved) <input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation) <input type="checkbox"/> Level 5 (Full Implementation -- Structures & processes operating as intended and are fully implemented) <input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
<p>Efficiency measures for reporting on the provision of legal services in the DPR are being developed and will draw on measures identified through the Department's Process Optimization Initiative and other initiatives, where appropriate.</p> <p>Efficiency indicators will be identified in the Department's Performance Measurement Framework (PMF) that will be submitted to TBS in October 2013, as part of the Management Resources and Results Structures (MRRS) update for 2014-2015.</p> <p>Efficiency indicators will be implemented and tested internally in 2013-2014, and revised if necessary. The Department will begin reporting on efficiency indicators to Parliament and the public in the 2015-2016 DPR.</p>	
Estimated Date of Completion: September 2013*	
<p><i>* The timelines have been updated to reflect an October 1st, 2013 deadline and guidance established by TBS for the development of efficiency indicators as part of the annual MRRS Amendment Process. Accordingly, the timelines for submitting efficiency indicators to TBS have been revised to October 1, 2013, as opposed to the August 2013 deadline reported to DAC in July. Also, the timelines for beginning to report on efficiency indicators in the DPR have been extended by one fiscal year in response to updated guidance from TBS i.e., mandatory reporting on efficiency indicators will commence with the 2015-2016 DPR, as opposed to TBS' previous deadline of the 2014-2015 DPR which had been conveyed to DAC in July.</i></p>	

CAE Assessment
<p>Management has formulated a series of measures and actions in response to the one OCG recommendation, to measure cost-effectiveness and report the information to key stakeholders. The CAE will assess the overall status of the Management Action Plan once all elements of the MAP have been fully implemented.</p>

Coordinator Name:	Jo-Anne Brisebois	Tel#:	(613) 957-4220
OP:	Chantal Quinn	Tel#:	(613) 946-4344
Also sent to:	Cc: Jodi Bromley; Barbara Ritzen; Daniel Schnob /Carla Sanipelli (#2 a,c,e)		

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

**Audit Name: PUBLIC SERVICE COMMISSION STAFFING AUDIT OF JUSTICE
CANADA 2012**

TAB 24: PSC Audit

Summary:

Tab	Audit Name	Audit Date	MAPs Outstanding for the Spring 2013 Exercise	# of MAPs to be Closed in Spring 2013 Exercise
24	<u>PSC</u>	2012	2	0

[Back to Table of Contents](#)

Coordinator Name:	Jo-Anne Brisebois	Tel#:	(613) 957-4220
OP:	Mary Lynn Courtney /Martin Belliveau	Tel#:	(613) 941-1902
Also sent to:	Cc: Joan Pratt		

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

**Audit Name: PUBLIC SERVICE COMMISSION STAFFING AUDIT OF JUSTICE
CANADA 2012**

PSC Audit Recommendations	Risk Ranking:
<ol style="list-style-type: none"> 1. The deputy head of Justice Canada should establish and implement a control mechanism on the management and monitoring of sub-delegated authority to ensure that letters of offer are signed by managers to whom the authority had been sub-delegated. 2. The deputy head of Justice Canada should ensure that Justice Canada fully implements its staffing monitoring framework. This includes ensuring that appointment processes and related decisions are fully documented and compliant with legislative, regulatory and policy requirements. Monitored results should be reported to senior management for necessary actions, as needed. 	

Management Response and Action Plan
<i>See Attached.</i>

Last Update (June 2012)
Not applicable.

Update:
<div> <input type="checkbox"/> Level 1 (No or insignificant progress) </div> <div> <input checked="" type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation) </div> <div> <input type="checkbox"/> Level 2 (Planning Stage: plans created & approved) </div> <div> <input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented) </div> <div> <input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement) </div> <div> <input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable) </div>

Current Status as at March 31, 2013 (please provide details on progress against the management action plan):
<p>All actions identified in the departmental Action Plan to address audit findings were completed with the exception of the full implementation of the Staffing Monitoring Framework (SMF). To fully implement the SMF, the remaining element to complete pertains to the completion of an internal appointment review exercise by Human Resources and Professional Development Directorate (HRPDD)</p> <p>The review exercise concluded at the end of February, 2013. The final report regarding the findings of the review was submitted to the attention of the D.G. HRPDD and it is intended that the monitored results will be reported to senior management by end of May, 2013. Subsequently, the Public Service Commission will be notified of its completion for DSAR assessment purposes and provided with a copy of the results stemming from the review exercise and a copy of the communication material that was provided to senior management regarding the findings.</p>
Estimated Date of Completion: May 31, 2013

CAE Assessment
The CAE supports management's self-assessment at level 4.

Coordinator/Name:	Jo-Anne Brisebois	Tel#:	(613) 957-4220
OPI:	Mary Lynn Courtney /Martin Belliveau	Tel#:	(613) 941-1902
Also sent to:	Cc: Joan Pratt		

Tab #	AUDIT NAME	Year	REC #	REC PART	Risk Level (L/M/H)	RECOMMENDATION	OPI	MGMT RESPONSE	Self-Assessment as at March 31, 2013	March 31, 2013 Level of Implementation (1 - 5 or Obsolete)	Mgmt Close Request	Estimated Date of Completion	March 31, 2013 Follow-Up CAE COMMENT	March 2013 CAE FINAL DECISION TO CLOSE
22	OAG	2007	525 - 2			<u>Managing the Delivery of Legal Services to Government – Department of Justice Canada</u> In addition to its current management of alternative dispute resolution initiatives, Justice Canada should ensure that it clearly defines each initiative's objectives, estimates the potential cost savings and formally reviews the outcome of initiatives against their objectives		The Department agrees with the Auditor General's recommendation, which is consistent with the recent review of the Department's dispute resolution initiative that has resulted in a new mandate focused on providing services to departments supporting long-term prevention and early resolution of disputes. These client-focused services include systems design, legal advisory support, and training, all of which are linked to the departmental priorities of improving practice management and maintaining the status of client services.	At the time of the audit, strategies examined by the OAG related to a DR Fund which had been approved by Treasury Board. The DR Fund is no longer in place. This recommendation is therefore considered obsolete.	Obsolete	Y	Obsolete	In order to support the assessment that the recommendation is obsolete, the following information / clarification is required: the date at which the Dispute Resolution Fund expired; a management statement that	?

Management Action Plan Follow-Up Summary

History of MAP Follow-Ups at IAB

Summary of MAP Follow-Up for recommendations from 2007 TO 2011

Table 1	Number of Recommendations
Started With / Reviewed	711
No F-Up Required (Obsolete)	497
Sent	214

Summary of March 31, 2012 Follow-Up

Table 2	Number of Recommendations
Started With	214
Closed	130
Obsolete	11
Outstanding	73

Summary of September 28, 2012 Follow-Up

Table 3	Number of Recommendations
Started With	73
Added	10
Total Start	83
Closed	42
Obsolete	3
Outstanding	38

Summary of March 31, 2013 Follow-Up

Table 4	Number of Recommendations
Started With	38
Added	4
External (NEW)	9
Total Start (Internal Audit MAPs)	42
Internal + External	51
Closed	15+2
Obsolete	
Outstanding	

OL+LSB (Not BCRO)
External

Management Action Plan Follow-Up Summary

Summary of Management Action Plan Follow Up March 2013

Summary of March 31, 2013 Follow-Up

Table 4	# of Internal Audit Recommendations	# of EXTERNAL Audit Recommendations	# of recs total
Started With Outstanding from Sept 28, 2012 MAP Follow-Up	38	9	
New Audit Recommendations Internal Audits: OL, BCRO, LSB**	6	0	
Official Languages	3		
Legislative Services*	1		
Total Start (# recommendations sent out)	42	9	
IA Follow-Up Required (Excludes BCRO and LSB)	39	9	48
At Level 5 - Close* & ***	16	4	
At Obsolete - Close	1	1	
Outstanding	22	4	

New Audits Added

Audit Name	# Recommendations for the Audit
Official Languages	3
Legislative Services*	1
BCRO**	2

*Legislative Services and BCRO Audits were approved at the DAC on October 15th, 2012.

Only 5 months for the March 31st 2013 follow up; therefore excluded from count

**BCRO did not respond to the follow-up, nor did IAB send them a reminder to oblige them to respond.

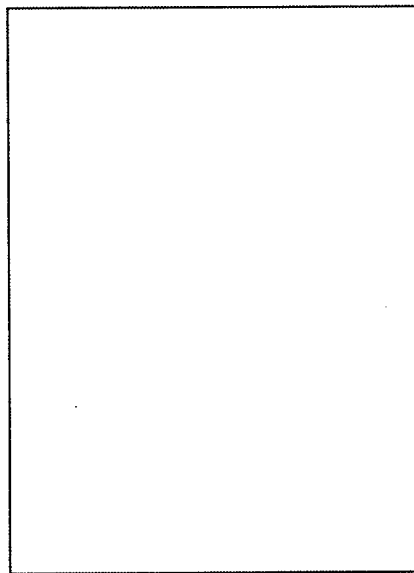
*** Excludes OAG a,b,c since d,e are at Level 2. The entire recommendation is counted as Level 2.

New External Audits Added

Audit Name	# Recommendations for the Audit
OAG	7
OCG	2
PSC	2

Recommendations by level of progress

Levels	Number of Recs	
Level 5	16	4
Obsolete	2	1
Level 4	15	3
Level 3	9	0
Level 2	0	1
Level 1	1	0
Total	43	9



Tab #	AUDIT NAME	Year	Target date	REC #	REC PART	Risk Level (L/M/H)	RECOMMENDATION	OPI	MGMT RESPONSE	CAE COMMENT - March 2012 Follow-Up May 23, 2012 / October 23, 2012	CAE COMMENT FALL FOLLOW-UP October 23, 2012	CAE COMMENT FALL FOLLOW-UP February 6, 2013	Count if sent out March 2013	Self-Assessment as at March 31, 2013	March 31, 2013 Level of Implementation (1 - 5 or Obsolete)	Mgmt Close Request	Estimated Date of Completion	Evidence	Recommendation to CAE	March 31, 2013 Follow-Up CAE COMMENT	March 2013 CAE FINAL DECISION TO CLOSE
22	OAG	2007	?	525-2			<u>Managing the Delivery of Legal Services to Government – Department of Justice Canada</u> In addition to its current management of alternative dispute resolution initiatives, Justice Canada should ensure that it clearly defines each initiative's objectives, estimates the potential cost savings and formally reviews the outcome of initiatives against their objectives		The Department agrees with the Auditor General's recommendation, which is consistent with the recent review of the Department's dispute resolution initiative that has resulted in a new mandate focused on providing services to departments supporting long-term prevention and early resolution of disputes. These client-focused services include systems design, legal advisory support, and training, all of which are linked to the departmental priorities of improving practice management and					At the time of the audit, strategies examined by the OAG related to a DR Fund which had been approved by Treasury Board. The DR Fund is no longer in place. This recommendation is therefore considered obsolete.	Obsolete	Y	Obsolete	n/a			

AUDIT NAME	Year	Target date	REC #	REC PART	Sept 2013 Follow-up					March 2014 Follow-up				
					Sept 2013 Self Assessment	IAB Assessment	New Rating	Revised Date	Status (Closed - Y/N)	Sept 2013 Self Assessment	IAB Assessment	New Rating	Revised Date	Status (Closed - Y/N)
OAG	2007	?	525-2											

Management Action Plan Follow-Up Summary

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Closed	130
Obsolete	11
Outstanding	73

Summary of September 28, 2012 Follow-Up

Table 3	Number of Recommendations
Started With	73
Added	10
Total Start	83
Closed	42
Obsolete	3
Outstanding	38

Summary of March 31, 2013 Follow-Up

Table 4	Number of Recommendations
Started With	38
Added	6
Total Start	44
Closed	
Obsolete	
Outstanding	

OL+BCRO+LSB
External

Summary of Management Action Plan Follow Up March 2013

Summary of March 31, 2013 Follow-Up

Table 4	# of Internal Audit Recommendations	# of EXTERNAL Audit Recommendations	# of recs total
Started With Outstanding from Sept 28, 2012 MAP Follow-Up	38	9	
New Audit Recommendations Internal Audits: OL, BCRO, LSB**	6	0	
Official Languages	3		
Legislative Services*	1		
Total Start (# recommendations sent out)	42	9	
IA Follow-Up Required (Excludes BCRO and LSB)	39	9	48
At Level 5 - Close* & ***	2	4	
At Obsolete - Close	0	1	
Outstanding	37	4	

New Audits Added

Audit Name	# Recommendations for the Audit
Official Languages	3
Legislative Services*	1
BCRO**	2

*Legislative Services and BCRO Audits were approved at the DAC on October 15th, 2012.

Only 5 months for the March 31st 2013 follow up; therefore excluded from count

**BCRO did not respond to the follow-up, nor did IAB send them a reminder to oblige them to respond.

*** Excludes OAG a,b,c since d,e are at Level 2. The entire recommendation is counted as Level 2.

New External Audits Added

Audit Name	# Recommendations for the Audit
OAG	5
OCG	2
PSC	2

Tab #	AUDIT NAME	Year	REC #	REC PART	Risk Level (L/M/H)	RECOMMENDATION	OPI	MGMT RESPONSE	CAE COMMENT - March 2012 Follow-Up May 23, 2012 / October 23, 2012	CAE COMMENT FALL FOLLOW-UP October 23, 2012	CAE COMMENT FALL FOLLOW-UP February 6, 2013	Count if sent out March 2013	Self-Assessment as at March 31, 2013	March 31, 2013 Level of Implementation (1 - 5 or Obsolete)	Mgmt Close Request	Estimated Date of Completion	Evidence	Recommendation to CAE	March 31, 2013 Follow-Up CAE COMMENT	March 2013 CAE FINAL DECISION TO CLOSE
22	OAG	2007	525-2			<u>Managing the Delivery of Legal Services to Government – Department of Justice Canada</u> In addition to its current management of alternative dispute resolution initiatives, Justice Canada should ensure that it clearly defines each initiative's objectives, estimates the potential cost savings and formally reviews the outcome of initiatives against their objectives		The Department agrees with the Auditor General's recommendation, which is consistent with the recent review of the Department's dispute resolution initiative that has resulted in a new mandate focused on providing services to departments supporting long-term prevention and early resolution of disputes. These client-focused services include systems design, legal advisory support, and training, all of which are linked to the departmental priorities of improving practice management and					At the time of the audit, strategies examined by the OAG related to a DR Fund which had been approved by Treasury Board. The DR Fund is no longer in place. This recommendation is therefore considered obsolete.	Obsolete	Y	Obsolete	n/a			

38	Start - As at March 31st, 2013				38
38	Level 5	16	4	Includes OCG # a,b,c separately	
0	Obsolete	1	1		
	Level 4	14	3		
	Level 3	9	0		
15	Level 2	0	1	Includes OCG # d,e separately	
10	Level 1	1	0		
15	Total	41	9		
7	Closed recommendations Fall 2012				17 5 50 total IA + External (Excludes LS8 and BCRO, not included in formula)

Outstanding

Management Action Plan Follow-Up Summary

History of MAP Follow-Ups at IAB

Summary of MAP Follow-Up for recommendations from 2007 TO 2011

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Summary of March 31, 2013 Follow-Up

Table 4	Number of Recommendations
Started With	38
Added	6
Total Start	44
Closed	
Obsolete	
Outstanding	

OL+BCRO+LSB
External

Summary of Management Action Plan Follow Up March 2013

Summary of March 31, 2013 Follow-Up

Table 4	# of Internal Audit Recommendations	# of EXTERNAL Audit Recommendations	# of recs total
Started With Outstanding from Sept 28, 2012 MAP Follow-Up	38	9	
New Audit Recommendations Internal Audits: OL, BCRO, LSB**	6	0	
Official Languages	3		
Legislative Services*	1		
Total Start (# recommendations sent out)	42	9	
IA Follow-Up Required (Excludes BCRO and LSB)	39	9	48
At Level 5 - Close* & ***	16	4	
At Obsolete - Close	1	1	
Outstanding	22	4	

New Audits Added

Audit Name	# Recommendations for the Audit
Official Languages	3
Legislative Services*	1
BCRO**	2

*Legislative Services and BCRO Audits were approved at the DAC on October 15th, 2012.

Only 5 months for the March 31st 2013 follow up; therefore excluded from count

**BCRO did not respond to the follow-up, nor did IAB send them a reminder to oblige them to respond.

*** Excludes OAG a,b,c since d,e are at Level 2. The entire recommendation is counted as Level 2.

New External Audits Added

Audit Name	# Recommendations for the Audit
OAG	5
OCG	2
PSC	2

ANNEX 1: AUDIT MANAGEMENT ACTION PLANS AND STATUS UPDATES

AUDIT	REC #	OFFICE OF PRIMARY INTEREST	RECOMMENDATION	MGMT RESPONSE	Self-Assessment as at March 31, 2013	Internal Audit Comment
Peoplesoft HR Management System - March 2011	7	Joan Pratt Cc: Jo-Anne Brisebois	<u>Back ups and Business Continuity Planning</u> It is recommended that the DG, HRPDD ensure that the criticality of PeopleSoft is assessed through a BIA, and that a BCP is completed for PeopleSoft.	Agreed. HRPDD and the IMB will work in collaboration to ensure that the assessment and plan are completed in conformity with the department's guide to business continuity. Completion date: By March 31, 2012.	On Track The HR Business Continuity Plan was used as the basis for the development of a PeopleSoft BCP. The PSoft BCP is complete and is referenced in an addendum, developed by IMB, of an IT BCP related to Corporate Applications. The PeopleSoft BCP is being updated to include the April, 2013 version of the HR BCP. The March 31, 2013 deadline has been met.	As evidence to support the self-assessment, a Business Continuity Plan consisting solely of a contact list was supplied. This is insufficient to support a Level 5 self-assessment. IAB requires access to the Business Impact Analysis assessing the criticality of the PeopleSoft system and if appropriate a completed Business Continuity Plan that meets departmental and government wide standards and guidance.
OAG 2007	5.62 1	Patrick Vézina Cc: Jo-Anne Brisebois	<u>Managing the Delivery of Legal Services to Government – Department of Justice Canada</u> Justice Canada should develop a quality management system or systems for each of its practices to provide senior management with ongoing and reliable assurance that all services meet established minimum quality standard	The Department agrees with the Auditor General's recommendation and will build on the elements of its quality work recognized by the Office of the Auditor General with a view to having a sound quality management approach.	QAF was fully endorsed by Management Committee on March 7, 2013 and by Executive Committee on March 27, 2013. A QAF is now in place at Justice for the provision of high quality legal services to the Government. The Management Sector considers this recommendation completed.	In order to support a level 5 assessment, evidence is required to demonstrate that the Quality Assurance Framework is able to provide senior management with ongoing and reliable assurance that all services meet minimum quality standards.
OAG 2007	5.62 2	Patrick Vézina Cc: Jo-Anne Brisebois	<u>Managing the Delivery of Legal Services to Government – Department of Justice Canada</u> Justice Canada should develop a quality management system or systems for each of its practices to provide senior management with ongoing and reliable assurance that all services meet established minimum quality standard.	The Department agrees with the Auditor General's recommendation and will build on the elements of its quality work recognized by the Office of the Auditor General with a view to having a sound quality management approach.	Roll-out of LRM Renewal is now under way, including national training of counsel and paralegals. This activity is consequently considered completed for the purposes of this audit.	In order to support a level 5 assessment, evidence is required to demonstrate that the LRM Renewal initiatives provide senior management with ongoing and reliable assurance that all services meet established minimum quality standards.
OAG 2007	5.25 2	Patrick Vézina Cc: Jo-Anne Brisebois	<u>Managing the Delivery of Legal Services to Government – Department of Justice Canada</u> In addition to its current management of alternative dispute resolution initiatives, Justice Canada should ensure that it clearly defines each initiative's objectives, estimates the potential cost savings and formally reviews the outcome of initiatives against their objectives	The Department agrees with the Auditor General's recommendation, which is consistent with the recent review of the Department's dispute resolution initiative that has resulted in a new mandate focused on providing services to departments supporting long-term prevention and early resolution of disputes. These client-focused services include systems design, legal advisory support, and training, all of which are linked to the departmental priorities of improving practice management and managing the volume of litigation.	At the time of the audit, strategies examined by the OAG related to a DR Fund which had been approved by Treasury Board. The DR Fund is no longer in place. This recommendation is therefore considered obsolete.	In order to support the assessment that the recommendation is obsolete, the following information / clarification is required: the date at which the Dispute Resolution Fund expired; a management statement that the Department is no longer undertaking DR initiatives; and, a management statement clarifying that dispute resolution is considered and discussed with clients on all litigation matters where DR is a potential option for resolution of the matter.

ANNEX 1: AUDIT MANAGEMENT ACTION PLANS AND STATUS UPDATES

OAG 2007	5.93	<p>Managing the Delivery of Legal Services to Government – Department of Justice Canada</p> <p>Justice Canada should make improvements to its resource management. The Department should:</p> <ul style="list-style-type: none"> - use management information on workload volumes and costs for all of its legal services to better monitor trends, plan, set priorities, manage resources, analyze service delivery options, and identify opportunities for controlling costs; - work with client departments to effectively plan, manage, and improve the cost-effectiveness of their financial arrangements with a view to managing demand for legal services and thereby reducing costs; and - ensure that a senior manager with the necessary authority leads the improvement of management practices at the Department and oversees implementation of these changes. 	<p>The Department agrees with the Auditor General's recommendation. The Department of Justice Canada will continue the work underway to develop approaches to further develop its capacity to use management information to enhance management decisions, and regularize its cost recovery agreements with government departments.</p> <p>The Department is currently working on putting in place an initiative to better coordinate and integrates its law management practices. The Department will, at the same time, review its management practices to identify and put in place corporate reports to provide management information to support departmental decision making. Senior management authority to lead our work on management practices will be strengthened.</p>	<p>Since the 2007 OAG Audit on Managing the Delivery of Legal Services to Government, Justice Canada has notably improved its resource management practices.</p> <ul style="list-style-type: none"> • An enhanced suite of tools, processes and standards are enabling the Department to: - use management information on workload volumes and costs to better monitor trends, plan, set priorities, manage resources, analyze service delivery options and identify opportunities for controlling legal services costs; and - work with client organizations to effectively plan, manage, and improve the cost effectiveness of legal services. • In 2009-2010, Justice introduced standard templates for Memoranda of Understanding (MOU) with client organizations for the provision of legal services. MOUs support transparent and accountable resource management and enable departments and agencies to effectively plan, monitor and manage their demand for legal services. In August 2012, following the introduction of new business standards related to cost recovery, the Department updated the MOU templates. In January 2013, the Department also updated a key supporting guidance documents that promotes quality and consistency in the development and implementation of MOUs (i.e., the Accountability Framework for MOUs Related to the Provision of Legal Services) to reflect the new business standards, roles, responsibilities and processes for cost recovery, and to highlight the importance of joint planning discussions. The Department also developed a revised template for the Planning and Forecasting Annex (entitled Annex B) of the MOU for implementation in 2013-14. The new Annex B template includes an attestation statement to be signed by both the Justice and client Contacts for the Management the MOU confirming that the forecast presented in the MOU reflects the results of joint planning discussions between Justice and the client organization, including consideration of options for controlling legal services costs. • The development of forecasting tools and enhanced reporting capabilities on the cost of legal services implemented through the Cost Recovery Process Improvement Project, have strengthened the collective ability of Justice and its client organizations to make informed decisions about legal services requirements and associated costs. • Justice's legal case management application (iCase) and Echo (a companion reporting tool that complements the reporting capabilities of iCase) continue to be used to support corporate reporting needs and to assist Justice managers and client departments in effectively planning, setting priorities, managing resources and managing the demand for legal services. For the past two years, the Department used Echo to generate historical information on level of effort and file inventory data that, together with historical information on cost recoveries, supported joint planning discussions between Justice and client organizations. In 2012-2013, information derived from Echo (and other sources) also provided key input to the development of efficiency measures that focus on managing the demand and cost of legal services and will support the Department in meeting commitments set out in the Government's 2012 Economic Action Plan. Access to Echo was extended and is now being used by financial and business analysts across the Department. • In December 2012, the Department also commenced a phased implementation of a Legal Services Management Dashboard. The dashboard provides managers with quick and easy access to key legal case management information to support decision making right from their desktop. The various reports presented in the Dashboard help managers to: identify and assess trends; plan, monitor and report on key business activities; manage resources and continuously improve their operations by highlighting areas that may warrant further attention; engage in joint planning discussions with client organizations; and identify options for controlling legal services costs. Guidance material is available to support users in navigating through the various dashboard reports and interpreting information contained therein. In November 2012, an Advisory Committee was established to guide future enhancements to the information presented in the dashboard with a view to expanding the dashboard to include information from other domains (e.g., HR, Finance). • Business process models developed in 2010-2011, outlining activities related to the management and delivery of legal services are available to support managers and business analysts in identifying business requirements and opportunities for process improvements. • The Business Practices Division reports on timekeeping compliance to executive management. Timekeeping information supports planning and forecasting, resource management, cost recovery, trend analysis and reporting on results. Regular timekeeping reports help senior management understand the evolution and scope of Justice's activities over time, measured in effort, as well as the level of quality and completeness of timekeeping information for each direct report. Internal Audit is also finalizing an audit on timekeeping compliance which will identify opportunities for continuous improvement in existing practices and management controls. • Consistent and well-documented business processes, tools and standards are in place to facilitate client engagement, enhance transparency and accountability and help ensure a uniform approach to managing and reporting on the provision of legal services. In 2012-2013, Justice compiled an evergreen list of relevant business processes, tools and standards currently available to support informed decision making by client organizations about their legal services requirements and associated costs, including: guidance material, business standards and related communications developed as part of the Cost Recovery Process Improvement (CRPI) Project; the Budget Management Framework i.e., a formal document that provides context, standards and directions for budget management activities within Justice; a communications strategy and material related to announcements on the legal services rates; Treasury Board (TB) submission protocols (including the Week Ahead Report which lists all client led TB subs); and templates and guidance material related to MOUs for the provision of legal services. The list will be updated as additional processes, tools and standards are introduced in support of continuous improvement. <p>The Department established the Management Sector in August 2007 and assigned responsibility for implementing the changes recommended by the OAG with respect to law practice management to the ADM, Management Sector. In May 2012, with much of the work in relation to the 2007 OAG Audit completed, some of the work done in the Law Practice Management Directorate (LPM) within the Management Sector was realigned with other units in the Department and other Divisions within the Sector. The resultant organization, while smaller, continues to provide essential services in relation to our national law practice. The Management Sector makes recommendations to senior management through the Department's governance structure and continues to work in collaboration with various working groups and advisory committees to advance key initiatives related to the management of the practice of law.</p>	<p>In light of the observations, key findings and recommendations contained in the draft Audit of iCase / timekeeping compliance, IAB cannot support a level 5 assessment.</p>
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S E R V I N G C A N A D I A N S

Management Action Plan (MAP) Follow-Up Exercise Spring 2013

Exercice de suivi des plans d'action de la gestion (PAG) Printemps 2013

Audit Management Response and Evaluation Committee /
Comité d'évaluation et de réponse de la direction à la vérification

June 25, 2013 / 25 juin 2013



Department of Justice
Canada

Ministère de la Justice
Canada

Canada

Management Action Plan (MAP) Follow-Up /
Suivi des plans d'action de la gestion (PAG)
Spring 2013 / Printemps 2013

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1	<u>Integrated Financial and Material Systems (IFMS)/ Système intégré des finances et matériel (SIFM)</u>	Feb/Fév 2007	1	0
2	<u>Material Management/Gestion du matériel</u>	June/Juin 2007	1	0
3	<u>Family Law Assistance Services (FOAEA & CRDP)/Services d'aide du droit familial (AEOEF ET BEAD)</u>	Nov 2007	6	6
4	<u>Ontario Regional Office (Finance and Administration Directorate)/ Bureau régional de l'Ontario (Finances et Administration)</u>	Aug/Août 2008	2	0
5	<u>Programs Branch Audit /Vérification de la direction générale des programmes</u>	Sep 2008	1	1
6	<u>Salary Management System/ Système de gestion des salaires</u>	July/Juillet 2009	2	1
7	<u>Immigration Law – Regional Offices/ Droit de l'immigration, Bureaux régionaux</u>	Nov 2009	1	1
8	<u>Budgetary Allocation and Forecasting/ Affectations et prévisions budgétaires</u>	July/Juillet 2010	1	0
9	<u>Cost Recovery Framework/ Cadre de recouvrement des coûts</u>	July/Juillet 2010	2	0
10	<u>PeopleSoft HR Management System/ Système de gestion des ressources humaines PeopleSoft</u>	Mar 2011	5	1
11	<u>LEGAL AGENT ACCOUNT VERIFICATION PROCESS (LAAV)/ Processus de vérification des comptes des mandataires</u>	Apr/Avril 2011	2	0
12	<u>Staffing/Resourcing Function/ Fonction de dotation-ressourcement</u>	June/Juin 2011	1	0
13	<u>Canada Border Services Agency Legal Services Unit/ SJM de l'Agence des services frontaliers du Canada</u>	Aug/Août 2011	2	1
14	<u>Regional Contracting/ Marchés de services régionaux</u>	Aug/Août 2011	8	1
15	<u>Tax Law Services Ottawa Section/ Services du droit fiscal section d'Ottawa</u>	July/Juillet 2011	1	0
16	<u>Tax Law Services Prairie Region/ Services du droit fiscal région des Prairies</u>	July/Juillet 2011	1	1
17	<u>Acquisition Cards/ Cartes d'achat</u>	Mar 2012	1	0
18	<u>Official Languages/ Vérification des langues officielles</u>	Mar 2012	3	2
19	<u>Legislative Services/ Vérification des services législatifs</u>	Oct 2012	1	0
	Total		42	15

Tab/ Onglet	External Audits/Vérifications externes	Audit Date/Date de la vérification	Carry Over MAPs /PAG ouverts	MAPs Closed /PAG fermés
20	OAG/BVG	2007	3	2
21	OAG June 2011 Status Update/BVG Mise à jour juin 2011	2011	1	1
22	OCG – Expenditure Control/BCG – Contrôle des dépenses	2009	2	0
23	OCG/BCG	2011	1	0
24	PSC/CFP	2012	2	0
	Total		9	3

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Integrated Financial and Materiel System (IFMS) 2007

**TAB 1/Onglet 1: Integrated Financial and Material Systems (IFMS)/ Système intégré des
finances et matériel (SIFM)**

Summary/Sommaire:

Tab/ Onglet	Audit Name/Nom de la vérification	Audit Date/Date de la vérification	Carry Over MAPs /PAG ouverts	MAPs Closed /PAG fermés
1	Integrated Financial and Material Systems (IFMS)/ Système intégré des finances et matériel (SIFM)	Feb/Fév 2007	1	0

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Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Integrated Financial and Materiel System (IFMS) 2007

Recommendation #4 (IA Ref# 2007-207-4)	Risk Ranking: Low
Functional/Technical Support It is recommended that the Director General, Finance ensure that the IFMS help desk maintains statistics on the number and types of phone calls received from users.	

Management Response and Action Plan
Agree. Effective immediately, telephone calls received from IFMS users will be documented and tracked in the same manner as e-mail requests for assistance.

Last Update (September 2012)
Further to the March 2012 update, the "Procure-to-Payment at Justice Project" was officially launched in November 2012. Solution Manager will be implemented during the initial phase of the project, including the CHARM and Service Desk tools. CHARM is an integrated SAP change management tool. Service Desk is an integrated SAP tool which tracks Help Desk tickets and support provided to IFMS users. Implementation is slated for March 2013.
LEVEL 3 // Estimated Date of Completion: March 2013

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input checked="" type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
Current Status as at March 31, 2013 (please provide details on progress against the management action plan): The timeline for delivery and implementation of Solution Manager has been revised and is now planned for fiscal year 2013-2014. The CFO Branch does not have the in-house resources required to implement Solution Manager. Due to difficulties and delays in obtaining staffing approvals, the decision was made to use contract support. This has delayed the implementation timelines. Solution Manager will include Service Desk, which is an integrated SAP tool which tracks help desk tickets and support provided to IFMS users.	
Estimated Date of Completion: March 31, 2014	

CAE Assessment
Although this audit dates back to 2007, the CAE supports the extension of the deadline for implementation to March 2014 in light of the system-wide staffing delays stemming from Budget 2012.

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
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Also sent to:			

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Materiel Management 2007

TAB 2/Onglet 2: Material Management/Gestion du matériel

Summary/Sommaire:

Tab/ Onglet	Audit Name/Nom de la vérification	Audit Date/Date de la vérification	Carry Over MAPs /PAG ouverts	MAPs Closed /PAG fermés
2	Material Management/Gestion du matériel	Jun/Juin 2007	1	0

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Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OP:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Materiel Management 2007

Recommendation # 1 (IA Ref# 2007-263-1)	Risk Ranking: Medium
It is recommended that the Director General, Administration ensures that a materiel management policy as well as procedures and guidelines specific to the Department of Justice are developed, implemented, and promulgated.	

Management Response and Action Plan
Agree. Policies, procedures and guidelines will be developed, implemented and promulgated. Actions to be undertaken: <ul style="list-style-type: none"> Extraction and verification of current policies, procedures and guidelines that are currently in place for the Department of Justice. Extraction and verification of Treasury Board policies and guidelines (currently under revision at TBS). Writing and editing of the department's materiel management policies, procedures and guidelines. Consultations with stakeholders, consolidation of comments, distribution and publication on the Intranet of the policies, procedures and guidelines.

Last Update (September 2012)
Further to the March 2012 update, consultation on the draft policy instruments will start in December 2012, with approval targeted for May 2013. The Materiel Management function now reports to the Chief Financial Officer Branch. LEVEL 3 // Estimated Date of Completion: May 2013 <u>Update from March 2012:</u> A draft materiel management policy had been prepared by a Consultant following the audit in 2007; however it was never adopted, implemented or promulgated at that time. This draft policy is being reviewed and updated and will be sent for consultation. The draft policy will be presented for consultation at the Advisory Committee on Contracting, Accommodation and Materiel Management (AC-CAMM) during the summer of 2012. The target date to have policy approved is December 2012. (60% complete)

Commented [DT1]: Added by CFOB to provide context to the September 2012 and March 2013 updates.

Update:
<div> <input type="checkbox"/> Level 1 (No or insignificant progress) </div> <div> <input type="checkbox"/> Level 2 (Planning Stage: plans created & approved) </div> <div> <input checked="" type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement) </div> <div> <input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation) </div> <div> <input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented) </div> <div> <input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable) </div>

Current Status as at March 31, 2013 (please provide details on progress against the management action plan):
Further to the September 2012 update, the timelines have been extended. Due to difficulties and delays in obtaining staffing approvals, the decision was made to use contract support. This has delayed the implementation timelines. The policy suite will be sent for consultation in the summer 2013 and should be approved by the end of October 2013.
Estimated Date of Completion:
October 31, 2013

CAE Assessment

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Approval Date:			

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Materiel Management 2007

Although this audit dates back to 2007, the CAE supports the extension of the deadline to October 2013 in light of the organizational changes stemming from Budget 2012.

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

**Audit Name: Family Law Assistance Services (Family Orders and Agreements
Enforcement Assistance & Central Registry of Divorce Proceedings) 2007**

**TAB 3/Onglet 3: Family Law Assistance Services (FOAEA & CRDP)/Services d'aide du
droit familial (AEOEF ET BEAD)**

Summary/Sommaire:

Tab/ Onglet	Audit Name/Nom de la vérification	Audit Date/Date de la vérification	Carry Over MAPs /PAG ouverts	MAPs Closed /PAG fermés
3	Family Law Assistance Services (FOAEA & CRDP)/Services d'aide du droit familial (AEOEF ET BEAD)	Nov 2007	6	6

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Coordinator Name:	Don Piragoff	Tel#:	(613) 957-4730
OPI:	Carole Millett	Tel#:	(613) 957-4518 / 613-957-4220
Also sent to:	Daniel Schnob 613-948-5117, Carla Sanipelli 613-941-7343; cc : Elissa Lieff 957-1200		

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

**Audit Name: Family Law Assistance Services (Family Orders and Agreements
Enforcement Assistance & Central Registry of Divorce Proceedings) 2007**

Recommendation # 8a (IA Ref# 2007-120-8-a)	Risk Ranking: Medium
FLAS Management Framework Procedures, Documentation, & Training It is recommended that the Director, FLAS ensure that: a) Written procedures for the Financial Officer are revised to more clearly describe FOAEA procedures and to include CRDP financial procedures.	

Management Response and Action Plan
Agree. With the hiring of the financial officer, all financial procedures are 90 % complete and should be completed by May 31, 2008. The CRDP financial functions will be transferred to the financial officer who will be responsible to develop appropriate procedures. The transfer of responsibilities and written procedures should be complete by July 2008.

Last Update (September 2012)
A consultant has been hired and has commenced the work to write the financial procedures for FOAEA. The work will be completed by the end of December, 2012. For CRDP, the draft financial procedures have been written. They will be finalized by the end of November 2012. LEVEL 4 // Estimated Date of Completion: Recommendation will be completed by end of December 2012

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input checked="" type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
Current Status as at March 31, 2013 (please provide details on progress against the management action plan):	
All financial procedures have now been documented.	
Estimated Date of Completion:	
Completed	

CAE Assessment
The CAE, after consultations with the CFOB, supports that this recommendation be closed as fully implemented.

Coordinator Name:	Don Piragoff	Tel#:	(613) 957-4730
OPI:	Carole Millett	Tel#:	(613) 957-4518 / 613-957-4220
Also sent to:	Daniel Schnob 613-948-5117, Carln Sanipelli 613-941-7343; cc : Elissa Lief 957-1200		

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

**Audit Name: Family Law Assistance Services (Family Orders and Agreements
Enforcement Assistance & Central Registry of Divorce Proceedings) 2007**

Recommendation # 16b (IA Ref# 2007-139-16-a)	Risk Ranking: Medium
Findings – Family Orders and Agreements Enforcement Assistance FOAEA Systems Management	
It is recommended that the Director, FLAS ensure that: b) IT Team procedures with regard to FOAEA system operations are documented.	

Management Response and Action Plan
Agree. Procedures are currently under review and will be complete by July 2008.

Last Update (September 2012)
A technical writer has been hired by the Information Management Branch, funded by the Policy Sector, to complete the work. The work will be completed by the end of this fiscal year.
LEVEL 4 // Estimated Date of Completion: March 31, 2013

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input checked="" type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
Current Status as at March 31, 2013 (please provide details on progress against the management action plan):	
The FOAEA system operations' documentation was completed on March 31, 2013.	
Estimated Date of Completion:	
Completed	

CAE Assessment
Internal Audit Branch received and reviewed the procedures manual and supports that this recommendation be closed as fully implemented.

Coordinator/Name:	Don Piragoff	Tel#:	(613) 957-4730
OPI:	Carole Millett	Tel#:	(613) 957-4518 / 613-957-4220
Also sent to:	Daniel Schnob 613-948-5117, Carla Sanipelli 613-941-7343; cc : Elissa Lief 957-1200		

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

**Audit Name: Family Law Assistance Services (Family Orders and Agreements
Enforcement Assistance & Central Registry of Divorce Proceedings) 2007**

Recommendation # 22 (IA Ref# 2007-149-22)	Risk Ranking: Medium
Findings – Central Registry of Divorce Proceedings Interaction between the CRDP Unit and Finance It is recommended that the Director, FLAS ensure that: a) The IFMS and CRDP system data is reconciled on a quarterly basis. b) Variances are explained. c) Adequate records are maintained of the reconciliation actions taken.	

Management Response and Action Plan
Agree. The responsibility for the CRDP financial control system will be transferred to the financial officer who will ensure that recommended controls are put in place. This transfer of functions should be complete by July 2008 and all controls in place by September 2008.

Last Update (September 2012)
FLAS provides the CFOB with the required information on a quarterly basis and provides explanations for any variances. The CFOB works on the quarterly reconciliation. LEVEL 4 // Estimated Date of Completion: _____

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input checked="" type="checkbox"/> Level 5 (Full Implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
Current Status as at March 31, 2013 (please provide details on progress against the management action plan): FLAS will provide the CFOB with the required information on a quarterly basis starting fiscal year 2013-2014 and provide explanations for any variances. CFOB will provide quarterly reconciliation.	
Estimated Date of Completion: Completed	

CAE Assessment
The CAE supports that this recommendation be closed with the caveat that the Preliminary Survey of Family Law Assistance Services (FLAS) 2014-15 will confirm that the reconciliation process is meeting the required standards.

Coordinator Name:	Don Piragoff	Tel#:	(613) 957-4730
OPI:	Carole Millett	Tel#:	(613) 957-4518 / 613-957-4220
Also sent to:	Daniel Schnob 613-948-5117, Carla Sanipelli 613-941-7343; cc : Elissa Lief 957-1200		

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

**Audit Name: Family Law Assistance Services (Family Orders and Agreements
Enforcement Assistance & Central Registry of Divorce Proceedings) 2007**

Recommendation # 23d (IA Ref# 2007-153-23-d)	Risk Ranking: Medium
Findings – Central Registry of Divorce Proceedings CRDP System Management	
It is recommended that the Director, FLAS ensure that: d) System requirements are reviewed to meet appropriate financial controls.	

Management Response and Action Plan
Agree. This matter will be reviewed by the financial officer once the responsibility is transferred. Work should be completed by September 2008.

Last Update (September 2012)
CRDP Financial procedures have been drafted. To be finalized by the end of November. Audit trails in place record changes in fee. Invoices, payments and compensation now recorded in the system. Analysis of other system requirements for financial process ongoing, to be completed in 2013-14. LEVEL 4 // Estimated Date of Completion: 2013-14

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input checked="" type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
Current Status as at March 31, 2013 (please provide details on progress against the management action plan):	
Audit trails implemented in 2012-13 allow capture of any financial input/changes in the CRDP system. Invoicing and compensation records are kept in the system. The Director has ensured that the current system, audit capacity and procedures allow us to meet appropriate financial controls. After review, at this time, no further technical changes to the financial component of the CRDP system are warranted at this time.	
Estimated Date of Completion:	
Completed	

CAE Assessment
The CAE supports that this recommendation be closed with the caveat that the Preliminary Survey of Family Law Assistance Services (FLAS) 2014-15 will confirm that system requirements meet appropriate financial controls.

Coordinator Name:	Don Piragoff	Tel#:	(613) 957-4730
OPI:	Carole Millett	Tel#:	(613) 957-4518 / 613-957-4220
Also sent to:	Daniel Schnob 613-948-5117, Carla Sanipelli 613-941-7343; cc : Elissa Lief 957-1200		

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

**Audit Name: Family Law Assistance Services (Family Orders and Agreements
Enforcement Assistance & Central Registry of Divorce Proceedings) 2007**

Recommendation # 26a (IA Ref# 2007-161-26-a)	Risk Ranking: Medium
Findings – Findings – Central Registry of Divorce Proceedings	
MOUs	
It is recommended that the Director, FLAS ensure that: a) Discussions are undertaken with the provinces to encourage quarterly invoicing and, in the case of Saskatchewan, compliance with the MOU.	

Management Response and Action Plan	Risk Ranking:
Agree. Communication with the provinces will commence in July 2008, and it is anticipated that an agreement with all the provinces will be reached by September 2008.	

Last Update (September 2012)
Discussions have commenced with the PTs to encourage quarterly invoicing and compliance with the MOU in the case of Saskatchewan. Awaiting responses from PTs. See also response to 26(b).
LEVEL 4 // Estimated Date of Completion: March 31, 2013

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input checked="" type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
Current Status as at March 31, 2013 (please provide details on progress against the management action plan):	
Discussions have been held with the provinces not currently under the quarterly invoicing regime (Quebec, NB, Yukon, NWT and Nunavut). At this point, none of their financial systems can accommodate such change of process. As of April 1, 2013, fees owed by Saskatchewan are charged on a quarterly basis in accordance with the MOU (full \$10.00 fee).	
Estimated Date of Completion:	
Completed	

CAE Assessment
The CAE supports closing this recommendation. The Preliminary Survey of Family Law Assistance Services (FLAS) 2014-15, will confirm that Saskatchewan is in compliance with the memorandum of understanding.

Coordinator Name:	Don Piragoff	Tel#:	(613) 957-4730
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**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

**Audit Name: Family Law Assistance Services (Family Orders and Agreements
Enforcement Assistance & Central Registry of Divorce Proceedings) 2007**

Recommendation # 26b (IA Ref# 2007-162-26-b)	Risk Ranking: Medium
Findings – Findings – Central Registry of Divorce Proceedings MOUs	
It is recommended that the Director, FLAS ensure that: b) MOUs are updated covering financial responsibilities and process requirements for CRDP fees and compensation.	

Management Response and Action Plan
Agree. This information will be communicated to the FPT working group currently working on the MOU.

Last Update (September 2012)
FPT MOA working group created, to start discussions for revised MOAs at the end of November. Completion date dependent on collaboration of PTs.
LEVEL 4 // Estimated Date of Completion: Dependent on collaboration and approval process within PTs. Negotiation process commenced. Estimated completion date 2014.

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input checked="" type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
Current Status as at March 31, 2013 (please provide details on progress against the management action plan):	
<p>There are two components to this recommendation. One component concerns the commitment by management to work with Provincial and Territorial officials to update the MOU, while the second component involves the processes of federal/provincial/territorial Ministers' approval and sign-off.</p> <p>The management response is directed to the first component. In this regard, the negotiation process with the Provinces and Territories to update the MOAs to explicitly address financial responsibilities and process requirements for CRDP fees and compensation is well advanced with a clause by clause review of a draft agreement. As of March 31, 2013, the members of the FPT Working Group responsible for the drafting of this MOA, except for one jurisdiction, were in full support and all PT members of the CCSO-Family Justice were kept informed. As part of the negotiations, consideration is being given to a proposal to streamline the invoicing and compensation process in consultation with CFOB. One jurisdiction, however, is unable to commit to the proposed compensation rate (remaining at status quo) without further provincial consultations. It is anticipated that within less than a year a draft agreement will be completed by the Working group. The MOA will then need to be presented in each PT to higher officials' level to make recommendations to and seek approval of the respective P/T Ministers.</p>	

Coordinator/Name:	Don Piragoff	Tel#:	(613) 957-4730
OPI:	Carole Millett	Tel#:	(613) 957-4518 / 613-957-4220
Also sent to:	Daniel Schnob 613-948-5117, Carla Sanipelli 613-941-7343; cc : Elissa Lief 957-1200		

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

**Audit Name: Family Law Assistance Services (Family Orders and Agreements
Enforcement Assistance & Central Registry of Divorce Proceedings) 2007**

With regard to the second component of the recommendation of obtaining Ministerial approval in each jurisdiction, the process is completely outside the departmental management's sphere of control as it may involve political considerations.

In the interim, financial responsibilities are covered and respected under the current MOA and the discussions undertaken as referred to in response to recommendation 26(a) to improve the payment and compensation process. Follow-up is done regularly to ensure prompt payment of invoices and compensation is issued on a quarterly basis after payment.

Estimated Date of Completion:

N/A

CAE Assessment

The CAE supports the closure of this recommendation in light of the high level of engagement between federal and provincial / territorial officials in developing revised memoranda of understanding. Additionally, the Preliminary Survey of Family Law Assistance Services (FLAS) 2014-15, will examine the updated processes and procedures to determine whether there are any further issues and / or risks that may require management attention.

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**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Ontario Regional Office (Finance and Administration Directorate) 2008

**TAB 4/Onglet 4: Ontario Regional Office (Finance and Administration Directorate)/
Bureau régional de l'Ontario (Finances et Administration)**

Summary/Sommaire:

Tab/ Onglet	Audit Name/Nom de la vérification	Audit Date/Date de la vérification	Carry Over MAPs /PAG ouverts	MAPs Closed /PAG fermés
4	Ontario Regional Office (Finance and Administration Directorate)/ Bureau régional de l'Ontario (Finances et Administration)	Aug/Août 2008	2	0

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Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:	cc Lorna Kettles for recommendation #29		

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Ontario Regional Office (Finance and Administration Directorate) 2008

Recommendation # 7 (IA Ref# 2008-109-7)	Risk Ranking: Low
Functional Guidance & Direction It is recommended that, in conjunction with the regional offices, the Director General, Finance develop a coherent and measurable set of performance objectives for the finance function capable of providing comparisons between regional offices.	

Management Response and Action Plan Agree. This will be a collaborative effort involving all regional offices to ensure that, from a strategic perspective, the performance objectives are agreed upon and measured for the finance function. These will form part of a recognized performance measurement framework that will be enhanced on a continuous and collective basis. As part of this effort, the DG, Finance office is currently working on developing a balance scorecard with financial and non-financial indicators, which is expected to be in place by the end of calendar year 2008.
--

Last Update (September 2012) The delivery of Financial, Contracting and Materiel Management (internal) services across the Department of Justice was consolidated within the CFO Branch (CFOB) on August 1 st , 2012. This consolidation and related modernization of internal services will enable the CFOB to move forward with delivering a consistent level of service across the Department. The CFOB is identifying best practices across the regional offices and across other government departments with the intent of implementing such practices within Justice. A key component of modernizing the CFOB function within the Department is implementing a new service delivery model for processing transactional payments. (This initiative is currently underway.) Additionally, work is being done to complete the CFOB balanced scorecard. Preliminary objectives, measures, targets and initiatives are currently being fine tuned to ensure alignment with the CFOB vision and strategy and with the financial, customer, internal business process, and learning and growth perspectives.
LEVEL 2 // Estimated Date of Completion: September 30, 2013

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress) <input type="checkbox"/> Level 2 (Planning Stage: plans created & approved) <input checked="" type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation) <input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented) <input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
Current Status as at March 31, 2013 (please provide details on progress against the management action plan): Further to the consolidation of Financial, Contracting and Materiel Management services across the Department of Justice within the CFOB in August of 2012, significant progress in implementing the related CFOB modernization plan has been achieved. The CFOB has implemented a new service delivery model for processing transactional payments and has finalized an organizational footprint for each of the five regional offices to ensure capacity exists to provide a consistent level of service. Weekly Regional Director of Finance teleconferences facilitate an understanding of each regional office's current practices and client service levels. This understanding enables the CFOB to identify and implement best practices and establish consistent business processes and levels of client service. In addition, the CFOB conducted a department-wide survey targeted at CFOB customers to gain an understanding	

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**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Ontario Regional Office (Finance and Administration Directorate) 2008

of its customer's perception of the current Accounts Payable function and to establish a baseline to further build upon. This information is critical to the success of the new service delivery model.

The work noted above is foundational to one of the key projects identified in the 2013/14 CFOB Operational Plan: the "Development of a Performance Measurement Framework and Strategy". Key milestones of this project include reviewing and assessing best practices for performance measurement for analogous organizations and communicating with and documenting CFOB staff and customer service standard expectations by September 30th, 2013. The development of service standards for all CFOB functions (includes the Regional CFOB offices as well as the NCR CFOB office) and the development of a "dashboard" to be used as a communication tool for monitoring and reporting on key commitments and initiatives, are targeted for completion by March 31st, 2014. The identification of performance indicators to measure results and provide meaningful feedback and the implementation of a CFOB balanced scorecard are targeted for completion in early 2014/15. The implementation has been delayed due to difficulties and delays in obtaining staffing approvals.

Estimated Date of Completion:

May 31, 2014

CAE Assessment

The CAE supports the extension of deadlines to September 2014 in light of the significant organizational changes stemming from the implementation of Budget 2012.

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MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Ontario Regional Office (Finance and Administration Directorate) 2008

Recommendation # 12 (IA Ref# 2008-114-12)	Risk Ranking: Low
Operational Performance Indicators	
It is recommended that the Director General, Finance consider activating SAP features, such as gating, threshold warnings, and volumetric triggers.	

Management Response and Action Plan
Agree that performance reporting capabilities can be made available by activating SAP features. A working group for IFMS will be reactivated in the fall 2008 to gather requirements and prioritize functional enhancements to IFMS. Concurrently, the IFMS unit will investigate activating some of the SAP features available as additional reporting tools from which performance statistics can be derived. With respect to gating in SAP, this feature was reviewed by the newly created HQ statistical sampling unit in 2006-07. At present, expenditures continue to be verified 100% prepayment, with statistical sampling also being performed on a post-payment basis on travel and hospitality expenditures. Once the error rate is reduced to an acceptable level for travel and hospitality expenditures, a gating process will be introduced. Other types of expenditures are also being planned for consideration in the statistical sampling process, which, in effect, would require the implementation of gating for these expenditures.

Last Update (September 2012)
Further to the March 2012 update, the Department will be implementing the IFMS Core Solution for statistical sampling for non-salary expenditures. The CFO Branch is exploring software options for statistical sampling for salary transactions. The CFO Branch is also investigating the implementation of the Gating Solution as a prerequisite for statistical sampling.
LEVEL 3 // Estimated Date of Completion: March 31, 2013

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input checked="" type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
Current Status as at March 31, 2013 (please provide details on progress against the management action plan):	
As indicated in the September 2012 update, the Department will be implementing the PWGSC IFMS Program Office (IFMS Core) solution for statistical sampling. This implementation will now be included as part of the "Procure to Payment at Justice" project.	
Estimated Date of Completion:	
September 30, 2014	

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:	cc Lorna Kettles for recommendation #29		

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Ontario Regional Office (Finance and Administration Directorate) 2008

CAE Assessment
The CAE supports the extension of deadlines to September 2014 in light of the interdependencies with the centrally driven IFMS Core Solutions project.

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
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**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Programs Branch 2008

TAB 5/Onglet 5: Programs Branch Audit/Vérification de la direction générale des programmes

Summary/Sommaire:

Tab/ Onglet	Audit Name/Nom de la vérification	Audit Date/Date de la vérification	Carry Over MAPs / PAG ouverts	MAPs Closed / PAG fermés
5	Programs Branch Audit/ Vérification de la direction générale des programmes	Sep 2008	1	1

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Coordinator Name:		Tel#:	
OPI:	Barbara Merriam	Tel#:	613-957-4344
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Programs Branch 2008

Recommendation # 13 (IA Ref# 2008-147-13)	Risk Ranking: Low
Interest on Overdue Accounts	
It is recommended that the DG, Programs Branch ensure that interest on overdue accounts is charged as required.	

Management Response and Action Plan
Agree. Many of the overdue accounts in question are either for very small amounts or have been assessed as likely to be unrecoverable. In view of the nature of these overdue accounts, Programs Branch, in consultation with the DG, Finance, will review carefully the Interest and Administrative Charges Regulations pursuant to the Financial Administration Act to ensure that interest is charged in all cases where the exceptions provided (small amounts, etc.) do not apply.

Last Update (September 2012)
Subsequent to last update on March 2012, a draft briefing note to the DM to waive interest charges was prepared earlier this fiscal year and circulated for comments. Still pending at the moment.
LEVEL 4 // Estimated Date of Completion: By the end of fiscal year 2012-13.

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress) <input type="checkbox"/> Level 2 (Planning Stage: plans created & approved) <input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation) <input checked="" type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented) <input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
Current Status as at March 31, 2013 (please provide details on progress against the management action plan):	
Interest will be charged with the exception of small amounts or accounts being assessed as likely to be unrecoverable. Subsequent to the update of March 2012, a draft briefing note to the Deputy Minister (DM) to obtain blanket approval to waive interest charges for the above-mentioned exceptions was prepared early in the fiscal year (2012-13) and circulated for comments. As recommended by the Debt-Write Off Committee, further changes were required to the briefing note. The briefing note is still pending at the moment. If approval for blanket authority is not obtained from the DM, the approval for waiving interest on specific accounts will continue to be carried out upon submission of the uncollectible or deemed uncollectible accounts to the Debt-Write Off Committee prior to recommending for approval to the CFO/DM.	
Estimated Date of Completion:	
NA - Completed	

CAE Assessment
After consultations with CFOB, the CAE supports closing this recommendation.

Coordinator Name:		Tel#:	
OPI:	Barbara Merriam	Tel#:	613-957-4344
Also sent to:			

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Salary Management System 2009

TAB 6/Onglet 6: Salary Management System/Système de gestion des salaires

Summary/Sommaire:

Tab/ Onglet	Audit Name/Nom de la vérification	Audit Date/Date de la vérification	Carry Over MAPs / PAG ouverts	MAPs - Closed / PAG fermés
6	Salary Management System/Système de gestion des salaires	July/Juillet 2009	2	1

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Coordinator Name:	cc Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Salary Management System 2009

Recommendation # 1ab (IA Ref# 2009-43-1)	Risk Ranking: Low
Responsibilities & Organization	
It is recommended that the Chief Financial Officer ensure that:	
<ul style="list-style-type: none"> a) responsibilities for managing and supporting the SMS and ensuring that the system is used appropriately are defined and documented; b) the Finance Branch increase its monitoring of SMS use by users and of the accuracy of SMS data. 	

Management Response and Action Plan
Agree. The Chief Financial Officer Branch (CFOB), through the SFT project, will better define its leadership role and ensure that roles and responsibilities are well defined and documented for the Finance divisions, business units, and administrators. Monitoring and ongoing support functions associated with the maintenance and quality of data being captured will also be defined and developed. These will be reviewed and addressed as part of the SFT project, which is scheduled for implementation on July 1, 2010.

Last Update (September 2012)
<p>September 2012 Update: Further to the March 2012 update for part (a) of the recommendation, the roles and responsibilities in managing and supporting the Salary Forecasting Tool have been established, however they have yet to be formally approved. The approval will be completed by the end of the fiscal year.</p> <p>LEVEL 4 // Estimated Date of Completion: March 31, 2013</p> <p>March 2012 Update: Current status as of March 31st, 2012 (a) Ongoing. (95% complete) (b) Completed, as per April 2011 Follow-Up Update</p> <p>Description: (a) Defining roles and responsibilities in managing and supporting the Salary Forecasting Tool (SFT) needs to be determined and finalized. The Resource Management Division and Financial Systems section within the CFO Branch will action this last requirement for this recommendation by the end of June 2012.</p>

Commented [DT2]:

We added the March 2012 update here for context and continuity. Part (b) of the recommendation was completed as of April 2011. The update provided below for March 2013 is for part (a) only.

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input checked="" type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
Current Status as at March 31, 2013 (please provide details on progress against the management action plan):	
Further to the September 2012 update for part (a) of the recommendation, the roles and responsibilities in managing and supporting the Salary Forecasting Tool have been formally approved.	

Coordinator Name:	cc Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Salary Management System 2009

LEVEL 5 // Date of Completion: March 31, 2013
Estimated Date of Completion:
N/A (Completed)
CAE Assessment
The CAE supports closing this recommendation as both parts (a) and (b) have been fully implemented.

Coordinator Name:	cc Carla Sanipelli	Tel#:	613-941-7343
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Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Salary Management System 2009

Recommendation # 16 (IA Ref# 2009-58-16)	Risk Ranking: Medium
Information Technology Security	
It is recommended that the Chief Financial Officer request that the CIO prepare a new TRA and C&A.	

Management Response and Action Plan
Agree. A new TRA and C&A will be prepared as part of the implementation of SFT on July 1, 2010.

Last Update (September 2012)
Further to the March 2012 update, the CFO Branch is awaiting confirmation from the Information Management Branch regarding whether Certification and Accreditation needs to be completed.
LEVEL 4 // Estimated Date of Completion: March 31, 2013

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input checked="" type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

Current Status as at March 31, 2013 (please provide details on progress against the management action plan):
Clarification was received in February 2013 from IMB and the Internal Audit Branch that Certification and Accreditation (C&A) is always required after the TRA is completed. The CFO Branch will follow-up with Information Solutions Branch (former Information Management Branch) by May 31, 2013 regarding what is required and the time line for completing the Certification and Accreditation. The implementation has been delayed due to difficulties and delays in obtaining staffing approvals.

Estimated Date of Completion:
To Be Determined – the date for the completion of the C&A is to be determined based on the CFOB follow-up with ISB (Information Solutions Branch).

CAE Assessment
Although this audit dates back to 2009, the CAE supports the extension of the deadlines in light of system-wide staffing delays following from budget 2012.

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OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Immigration Law Regional Offices 2009

TAB 7/Onglet 7: Immigration Law – Regional Offices/Droit de l'immigration, Bureaux régionaux

Summary/Sommaire:

Tab/ Onglet	Audit Name/Nom de la vérification	Audit Date/Date de la vérification	Carry Over MAPs / PAG ouverts	MAPs Closed / PAG fermés
7	Immigration Law – Regional Offices/ Droit de l'immigration, Bureaux régionaux	Nov 2009	1	1

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Coordinator/Name:	Jo-Anne Brisbois	Tel#:	613-957-4220
OPI:	Patrick Vézina	Tel#:	613-957-4670
Also sent to:	Alexandre Larouche 613-941-9256, Daniel Therrien 613-952-4774		

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Immigration Law Regional Offices 2009

Recommendation # 2 (IA Ref# 2009-35-2)	Risk Ranking: Low
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Information Systems

It is recommended that the Director General, Law Practice Management Directorate, and the ADAG, PSDI Portfolio, consider the deployment of GASPARD to client departments (with respect to case law).

Management Response and Action Plan

LPMD

We agree. We will consider whether it would be feasible and appropriate to provide limited and secure access to case law found in GASPARD to officers in CIC and CBSA so as to make a determination on such feasibility before August 30, 2010. If the conclusion is that it would be feasible and appropriate to do so, we will then set a date before which access to case law in GASPARD will be provided to officers in CIC and CBSA. A pilot project currently under way with CIC will provide us with the additional information for our determination.

PSDI

We agree. The GASPARD team in the QRO have entered into an MOU with CIC on a trial basis since July 2009 (copy attached) and will assess client satisfaction with the product by the end of August 2010. Once we have the results from the pilot project, we will be in a position to make informed decisions regarding the provision of access to clients on a broader basis. Further, with regard to use of pay-per-use legal information services, we agree to prioritize the use of departmental tools.

Last Update (September 2012)

Justipedia was released on February 1st, 2012 and will be fully implemented by the end of 2012-13. Justipedia will replace GASPARD and other KM systems. Pilot projects involving the provision of limited and secure access to case law found in GASPARD to officers in CIC and CBSA will be continued in Justipedia in 2012-13 and are expected to be completed by December 2012. We will then be in a position to consider whether it would be feasible and appropriate to provide limited and secure access to case law found in Justipedia to other departments and agencies.

LEVEL 4 // Estimated Date of Completion: End of 2012-2013

Update:

<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input checked="" type="checkbox"/> Level 5 (Full Implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

Current Status as at March 31, 2013 (please provide details on progress against the management action plan):

GASPARD (with respect to case law) was successfully made available to CIC and CBSA on a limited basis. CIC and CBSA access to GASPARD ceased in 2012 when all legal knowledge management systems were replaced by Justipedia, Justice Canada national legal knowledge management portal.

The Management Sector and PSDI have responded to the specific recommendation contained in the audit report and considers this action completed.

Estimated Date of Completion:

CAE Assessment

The CAE supports closure of this recommendation in light of the completion of the departmental roll-out of Justipedia (which replaced GASPARD).

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OPI:	Patrick Vézina	Tel#:	613-957-4670
Also sent to:	Alexandre Larouche 613-941-9256, Daniel Therrien 613-952-4774		

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Budgetary Allocation 2010

**TAB 8/Onglet 8: Budgetary Allocation and Forecasting/Affectations et prévisions
budgétaires**

Summary/Sommaire:

Tab/ Onglet	Audit Name/Nom de la vérification	Audit Date/Date de la vérification	Carry Over MAPs / PAG ouverts	MAPs Closed / PAG fermés
8	Budgetary Allocation and Forecasting/ Affectations et prévisions budgétaires	July/Juillet 2010	1	0

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Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPR:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Budgetary Allocation 2010

Recommendation # 3 (IA Ref# 2010-3-3)	Risk Ranking: Low
Financial Management Advisors It is recommended that the CFO: <ol style="list-style-type: none"> after consulting with portfolio/sector heads, ensure that the roles and responsibilities of the Financial Management Advisor function are defined; seek the support of the Senior Management Board to ensure the successful implementation of the Financial Management Advisor function in portfolios and sectors. 	

Management Response and Action Plan Agreed. In July 2009, as part of the Deputy Minister's announcement regarding the creation of the Chief Financial Officer Model, it was noted that a key element of the CFO implementation was formalizing the Financial Management Advisory function across the Department. Sufficient time has now elapsed to carry out an assessment of the FMA function from which the feedback will be used as the basis for improving the level of services received and for sharing of best practices. The CFO met with stakeholders (ADMs, ADAGs, Heads of Sectors, Directors of Business Management, and Financial Management Advisors) in the fall of 2009 with a goal of facilitating a common understanding of the role and responsibilities of the FMA. A report will be drafted of the assessment, discussions, and findings in effort to determine next steps and ensure successful implementation. The CFO will provide an update, including report results, of the FMA implementation to the Senior Management Board to ensure the Department's ongoing commitment to this portion of the CFO model, prior to the end of fiscal year 2010-11. Clarity around roles and responsibilities will also be incorporated as part of the CFO's roles and responsibilities project currently being undertaken by the Branch.
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Last Update (September 2012) Part (a) of the recommendation was completed as of the March 2012 update. In regards to part (b) of the recommendation, the implementation of the Financial Management Advisor (FMA) Model is ongoing and is a key priority for the Chief Financial Officer (CFO). Approximately six new FMAs have been hired to augment the FMA model and capacity of the Department. Going forward, the consolidation of Internal Services on August 1 st , 2012 will provide the CFO with the opportunity to professionalize the FMA function across the Department through the hiring of additional Financial Officers to support it. The current CFO Branch consolidation project proposed plan requires DM approval, so the augmentation of this function across the Department is expected to occur in 2013. LEVEL 3 // Estimated Date of Completion: December 31, 2013

Update: <div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> <input type="checkbox"/> Level 1 (No or insignificant progress) <input type="checkbox"/> Level 2 (Planning Stage: plans created & approved) <input checked="" type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement) </div> <div style="width: 45%;"> <input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation) <input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented) <input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable) </div> </div>	
Current Status as at March 31, 2013 (please provide details on progress against the management action plan): Part (a) of the recommendation was completed as of the March 2012 update. In regards to part (b) of the recommendation, CFOB continues to work on developing the FMA model. The model remains a key priority for the Chief Financial Officer, with the goal of transitioning the FMA role to that of a strategic advisor. Further to the September 2012 update, CFOB has worked extensively on its Consolidation Plan; however, the Plan has not yet been approved by the DM. It is the hope of the CFO that the Consolidation Plan will be presented to the DM shortly, and approved and supported by the senior leadership of the Department.	

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OP#:	Daniel Schnob	Tel#:	613-948-5117
Alternate to:			

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Budgetary Allocation 2010

It has been challenging to staff FMA positions in the current environment of constraint, and in moving forward it remains unclear if these constraints will be lifted. The implementation has also been delayed due to difficulties and delays in obtaining staffing approvals. The plan is to augment the FMA structure over the next two to three years with FI 04s that will play the strategic advisor function to ADMs and ADAGs. These senior FMAs will be supported by other FMAs at various levels.

Estimated Date of Completion:

March 31, 2015

CAE Assessment

Although this audit dates back to 2010, the CAE supports the extension of the deadlines in order to seek approval and support for the implementation of the FMA model.

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OP:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Cost Recovery 2010

TAB 9/Onglet 9: Cost Recovery Framework/Cadre de recouvrement des coûts

Summary/Sommaire:

Tab/ Onglet	Audit Name/Nom de la vérification	Audit Date/Date de la vérification	Carry Over MAPs / PAG ouverts	MAPs Closed / PAG fermés
9	Cost Recovery Framework/ Cadre de recouvrement des coûts	July/Juillet 2010	2	0

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Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Cost Recovery 2010

Recommendation # 2 (IA Ref# 2010-9-2)	Risk Ranking: High
Integrated Planning It is recommended that the CFO, with the support of the ADM, Management Sector, ensure that an integrated plan is prepared that sets out a strategy for the management of cost recovery.	

Management Response and Action Plan Agree. The CFOB strategic plan has identified the need for the establishment of a net vote framework that would articulate the Department's management of its net vote authority, including the re-engineering of cost recovery processes. The framework will be a formal document that provides context, standards, and directions, as well as the supporting structure. This document will consist of a set of ideas, conditions, or assumptions that determine how the management of the net vote authority and cost recovery processes will be approached, perceived, and understood by departmental staff. Articulated roles and responsibilities will ensure all requirements are assigned so that established standards may be adhered to. It is anticipated that the net vote framework project will move forward over the next two years (i.e. 2010-11 and 2011-12), and that the development of an integrated plan for the management of cost recovery formalizing the vision will be part of discussions noted under Recommendation 1. In support of such a framework, the plan will focus on gaps and the development of enhancements, which will direct resources to priorities, set a direction with deliverables, establish a timeframe, and ensure objectives are met.
--

Last Update (September 2012) Status as of September 28, 2012 = Ongoing (65% complete) Continued progress has been made on the Cost Recovery Process Improvement (CRPI) project, with Phase I completed and completion of Phase II of the project to occur by March 31, 2013. The outcomes of the CRPI project will serve as the foundation for the development of the Net Vote Framework. Building upon the common business practices and standards implemented in conjunction with CRPI, the CFO Branch intends to complete the development of the Net Vote Framework by March 31, 2014. The delay of the Net Vote Framework implementation is attributed to two factors: an extension of the CRPI project timelines and the reallocation of resources in CFOB to maintain other core activities. LEVEL 4 // Estimated Date of Completion: March 31, 2014

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input checked="" type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full implementation - Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

Current Status as at March 31, 2013 (please provide details on progress against the management action plan): Status = Ongoing (70% complete) The outcomes of the Cost Recovery Process Improvement (CRPI) project serve as the foundation for the development of the Net Vote Framework. Continued progress has been made on CRPI since the last update, including the completion of Phase II of the project on March 31 st , 2013. Depending on a 2013-14 departmental reserve funding decision, it is anticipated that CRPI will be prolonged until the Summer of 2013 in order to deliver further enhancements requested by the user community. Building upon the common business practices and standards implemented in conjunction with CRPI, the CFO Branch intends to complete the development of the Net Vote Framework by Summer 2015. The extended delay of the Net Vote Framework implementation is attributed to three factors: a continued extension of the CRPI project timelines (now possibly until Summer 2013), the delays in approvals to staff for positions to work on this project, and the reallocation of resources in the CFO Branch to maintain other core activities.

Coordinator/Name:	Carla Sanipelli	Tel#:	613-941-7343
OP1:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Cost Recovery 2010

To date, the broad framework and concept for the Net Vote Framework has been shared with the Finance, Timekeeping (iCase Business Practice Division) and Director of Business Management communities. In late April 2013, the broad framework and concept is scheduled to be presented to the Deputy Minister at Management Committee. In May 2013, the project charter and the first draft policy will be shared with the Finance, Timekeeping (iCase Business Practice Division) and Director of Business Management communities.

LEVEL 4 // Estimated Date of Completion: Summer 2015

Estimated Date of Completion:

September 15, 2015

CAE Assessment

Although this audit dates back to 2010, the CAE supports the extension of the deadlines in light of the significant organizational changes stemming from budget 2012, the concomitant delays in staffing and the re-prioritization of the activities and projects.

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Cost Recovery 2010

Recommendation # 3 (IA Ref# 2010-10-3)	Risk Ranking: Medium
Human Resources It is recommended that the CFO ensure that each of the portfolios and the three specialized legal areas at headquarters are appropriately staffed with FMAs.	

Management Response and Action Plan Agree. The financial management advisor function continues to gain support and be strengthened throughout the Department. The CFO has made presentations to each of the Direct Reports to the Deputy Minister within the National Capital Region to discuss the role of the FMAs, and outline their responsibilities and how they are to operate within the Department. Additional FMAs have been hired including the FMA director, remaining positions are being created, and permanent financial resources are being requested from the Department. As of March 31, 2010 there are 8 FMAs within 10 portfolios/sectors and some areas have hired and/or requested more than one FMA. Departmental support is growing and plans are moving forward; however, some challenges may be encountered in regard to competing demands for limited departmental resources, given the current government fiscal restraints. It is intended that within the next two years the FMA function will be fully integrated within the Department's business.

Last Update (September 2012) Progress continues to be made in staffing plans as referenced in the management response and March 2012 update. At the beginning of the current fiscal year (2012-13), approximately \$1.1M in permanent funding was given to CFO Branch's Portfolio Management in support of the FMA model. As of Sept 28, 2012, Justice had 14 Financial Management Advisors (FMAs) representing 10 out of 12 portfolios/sectors, with some areas having more than one FMA. While support for the FMA model continues to increase across the Department, recruitment has become an issue, as 98% of Justice's Financial Officers are under "affected" status. The FMA model remains a key priority for the CFO and the focus on consolidation of Internal Services will further augment and solidify this role within the CFO Branch. LEVEL 4 // Estimated Date of Completion: September 30, 2013

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input checked="" type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

Current Status as at March 31, 2013 (please provide details on progress against the management action plan): The plans for the FMA portfolio continue to evolve due to the review of internal services, which resulted in a consolidation along functional lines, including Finance. The review also resulted in reductions, which has had a direct impact on our ability to staff various positions, including those within the FMA portfolio. The plans for implementation have also been delayed due to difficulties and delays in obtaining staffing approvals. There is now a shortage of FMAs in four sectors and portfolios. The staff shortage coupled with the consolidation of internal services will result in a re-organization of the FMA structure within CFOB and across the Department. The review of this structure should be completed shortly. A new organizational structure will be proposed to the CFO and subsequently to the DM, which will continue to ensure that FMAs remain strategic advisors that are client focused.
Estimated Date of Completion: March 31, 2015

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Cost Recovery 2010

CAE Assessment
Although this audit dates back to 2010, the CAE supports the extension of deadlines in light of the significant organizational changes stemming from Budget 2012.

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: PeopleSoft Human Resources Management System 2011

TAB 10/Onglet 10: PeopleSoft HR Management System/Système de gestion des ressources humaines PeopleSoft

Summary/Sommaire:

Tab/ Onglet	Audit Name/Nom de la vérification	Audit Date/Date de la vérification	Carry Over MAPs / PAG ouverts	MAPs Closed / PAG fermés
10	PeopleSoft HR Management System/ Système de gestion des ressources humaines PeopleSoft	Mar 2011	5	1

[Back to Table of Contents/Retour à la table des matières](#)

Coordinator Name:	cc : Jo-Anne Brisebois	Tel#:	613-957-4220
OPR:	Joan Pratt	Tel#:	613-941-1867
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: PeopleSoft Human Resources Management System 2011

Recommendation # 5 (IA Ref# 2011-23-5)	Risk Ranking: Low
System Documentation It is recommended that the DG, HRPDD ensure that the Operations Guide is finalized and provided to users as soon as it is completed.	

Management Response and Action Plan Agreed. The HR Systems Team recognizes the need to have all processes and procedures that are currently used to effectively maintain the application documented and made known to the ever-increasing user community. The work in relation to the development of the Operations Guide is nearing completion and will be finalized, communicated to all users, and made available through HR and You. Completion date: By March 31, 2012.
--

Last Update (September 2012) The PeopleSoft product is undergoing a mandatory technical upgrade. This upgrade will result in changes to the look and feel of the system as well as navigation within the system. Given this upgrade, the HR Systems team agreed that the draft Guide would be revised to reflect the new product once the upgrade is complete. The new version will be released into production on November 19th followed by a four week stabilization period. As such, final revision of the Guide will take place when the system upgrade is complete. The finalization and communication of this Guide is a priority for the HRMS Team and we are on track to meet the March 31, 2013 deadline. LEVEL 3 // Estimated Date of Completion: March 31, 2013
--

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input checked="" type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
Current Status as at March 31, 2013 (please provide details on progress against the management action plan): The PeopleSoft mandatory technical upgrade resulted in changes to the look and feel of the system as well as navigation within the system. Given this upgrade, the HR Systems team revised the Operations Guide to reflect the new product following completion of the upgrade, which was released into production on November 19, 2012. This was followed by a four week stabilization period. The March 31, 2013 deadline has been met. Estimated Date of Completion: March 31, 2013	

CAE Assessment
The CAE supports the closure of the recommendation as fully implemented.

Coordinator Name:	cc : Jo-Anne Brisebois	Tel#:	613-957-4220
OPI:	Joan Pratt	Tel#:	613-941-1867
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: PeopleSoft Human Resources Management System 2011

Recommendation # 7 (IA Ref# 2011-25-7)	Risk Ranking: Medium
Back ups and Business Continuity Planning It is recommended that the DG, HRPDD ensure that the criticality of PeopleSoft is assessed through a BIA, and that a BCP is completed for PeopleSoft.	

Management Response and Action Plan Agreed. HRPDD and the IMB will work in collaboration to ensure that the assessment and plan are completed in conformity with the department's guide to business continuity. Completion date: By March 31, 2013.

Last Update (September 2012) This activity is on track. As previously indicated the HR Business Continuity Plan (BCP) was used as the basis for the development of a PeopleSoft BCP. The PeopleSoft BCP is nearing completion and is referenced in an addendum that was developed by the IMB of an IT BCP related to Corporate Applications. LEVEL 2 // Estimated Date of Completion: March 31, 2013

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress) <input type="checkbox"/> Level 2 (Planning Stage: plans created & approved) <input checked="" type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation) <input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented) <input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

Current Status as at March 31, 2013 (please provide details on progress against the management action plan): The HR Business Continuity Plan was used as the basis for the development of a PeopleSoft BCP. The PSoft BCP is complete and is referenced in an addendum, developed by IMB, of an IT BCP related to Corporate Applications. Will work with ISB to ensure that PeopleSoft requirements form part of BCP for Corporate Applications to meet requirements (including BIA).
Estimated Date of Completion: September 30, 2013

CAE Assessment The CAE supports the extension of the deadline to September 2013.
--

Coordinator Name:	cc : Jo-Anne Brisebois	Tel#:	613-957-4220
OPI:	Joan Pratt	Tel#:	613-941-1867
Also sent to:			

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: PeopleSoft Human Resources Management System 2011

Coordinator Name:	cc : Jo-Anne Brisebois	Tel#:	613-957-4220
OPI:	Joan Pratt	Tel#:	613-941-1867
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: PeopleSoft Human Resources Management System 2011

Recommendation # 11 (IA Ref# 2011-29-11)	Risk Ranking: Medium
Data Sensitivity & Security It is recommended that the DG, HRPDD ensure that a Privacy Impact Assessment and a Threat and Risk Assessment are completed.	

Management Response and Action Plan
Agreed. HRPDD in collaboration with IMB will take the necessary steps to secure the services of experts to undertake a Privacy Impact Assessment and a Threat Risk Assessment in order to ensure compliance with the Treasury Board Management of Information Technology Security (MITS.). Completion date: By March 31, 2013.

Last Update (September 2012)
The Threat Risk Assessment has been completed and contracting arrangements are now being finalized in order to secure contracting assistance for the conduct and development of the Privacy Impact Assessment.
LEVEL 3 // Estimated Date of Completion: March 31, 2013

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress) <input type="checkbox"/> Level 2 (Planning Stage: plans created & approved) <input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input checked="" type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation) <input type="checkbox"/> Level 5 (Full Implementation – Structures & processes operating as intended and are fully implemented) <input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
Current Status as at March 31, 2013 (please provide details on progress against the management action plan):	
The TRA has been completed and endorsed by all parties involved.	
The March 31, 2013 deadline for the TRA has been met.	
The PIA is underway.	
Estimated Date of Completion: TRA - March 31, 2013 / PIA Dec. 31, 2013	

CAE Assessment
The CAE supports the extension of the deadline in order to complete the PIA.

Coordinator Name:	cc : Jo-Anne Brisebois	Tel#:	613-957-4220
OPI:	Joan Pratt	Tel#:	613-941-1867
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: PeopleSoft Human Resources Management System 2011

Recommendation # 12 (IA Ref# 2011-30-12)	Risk Ranking: Medium
Data Sensitivity & Security It is recommended that the DG, HRPDD ensure that the Certification and Accreditation of PeopleSoft is updated.	

Management Response and Action Plan Agreed. HRPDD in collaboration with the IMB will take the necessary steps to ensure that the Certification and Accreditation of PeopleSoft is updated and completed by March 2013.
--

Last Update (September 2012) The Information Management Branch in conjunction with the HR Systems Unit are working with IT Security to ensure that this work proceeds and is completed by March 31, 2013. LEVEL 2 // Estimated Date of Completion: March 31, 2013
--

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input checked="" type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
Current Status as at March 31, 2013 (please provide details on progress against the management action plan): Work has been completed by the Peoplesoft partners. Currently awaiting development of Certification document from Chief, Technology Security, Denis Roussel.	
Estimated Date of Completion: September 30, 2013.	

CAE Assessment
The CAE supports the extension of the deadline to September 2013.

Coordinator Name:	cc : Jo-Anne Brisebois	Tel#:	613-957-4220
OP:	Joan Pratt	Tel#:	613-941-1867
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: PeopleSoft Human Resources Management System 2011

Recommendation # 13 (IA Ref# 2011-31-13)	Risk Ranking: Medium
Data Sensitivity & Security It is recommended that the DG, HRPDD ensure that the appropriate protection level for all HR data is identified and communicated to staff.	

Management Response and Action Plan Agreed. The PeopleSoft HRMS is the government-endorsed application for HR Management. The Government of Canada version of the PeopleSoft HRMS is maintained by the Program Centre housed within PWGSC. The Program Centre has identified appropriate security designations for the modules licensed by the Government of Canada. Responsibility for access controls is left to the discretion of each government department utilizing the application taking these security designations into consideration. As referenced above, both the 2006 Threat and Risk Assessment and the 2008 Certification and Accreditation documents designate PeopleSoft data as either Protected A or B. Work to update both of these documents will be undertaken in the short-term and will serve to reconfirm the appropriate levels of protection for the system. As referenced in 8, 9, 10 above, restricted access with a second level approval process is granted for Protected B data. A communication strategy will be put in place to identify and communicate level of protection for all HR data. Completion Date: By March 31, 2012.
--

Last Update (September 2012) Please refer to recommendation # 11 (above). The review of security levels forms part of the Privacy Impact Assessment (PIA). A communications strategy will be developed and implemented upon completion of the PIA. LEVEL 3 // Estimated Date of Completion: March 31, 2013

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input checked="" type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
Current Status as at March 31, 2013 (please provide details on progress against the management action plan): Please refer to recommendation #11 above. The review of security levels forms part of the Privacy Impact Assessment (PIA). A communications strategy will be developed and implemented upon completion of the PIA. Estimated Date of Completion: December, 2013	

CAE Assessment The CAE supports the extension of the deadline in order to complete the PIA.

Coordinator Name:	cc : Jo-Anne Brisebois	Tel#:	613-957-4220
OPA:	Joan Pratt	Tel#:	613-941-1867
Also sent to:			

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: LEGAL AGENT ACCOUNT VERIFICATION PROCESS (LAAV) 2011

**TAB 11/Onglet 11: LEGAL AGENT ACCOUNT VERIFICATION PROCESS
(LAAV)/Processus de vérification des comptes des mandataires**

Summary/Sommaire:

Tab/ Onglet	Audit Name/Nom de la vérification	Audit Date/Date de la vérification	Carry Over MAPs / PAG ouverts	MAPs Closed / PAG fermés
11	LEGAL AGENT ACCOUNT VERIFICATION PROCESS (LAAV)/Processus de vérification des comptes des mandataires	Apr/Avr 2011	2	0

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Coordinator/Name:	JODI SEGUIN	Tel#:	613-960-1693
OPI:	CAROLINE GUILLEMETTE	Tel#:	613-946-7641
Also sent to:	Daniel Schnob 613-948-5117 cc Carla Sanipelli 613-941-7343		

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: LEGAL AGENT ACCOUNT VERIFICATION PROCESS (LAAV) 2011

Recommendation # 1 (IA Ref# 2011-9-1)	Risk Ranking: Medium
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Policies, Procedures & Guidelines

It is recommended that the Director, LPMC, in consultation with the Chief Financial Officer, review and update procedures regarding account verification for use by all regional offices.

Management Response and Action Plan

Agreed. The LPMC, in consultation with the Chief Financial Officer Branch (CFOB), will review the account verification (taxation) procedures within this fiscal year (2011-2012). This will include the revision of all existing guidelines, forms, templates, and checklists used in the taxation process. Once the procedures have been finalized, they will form the basis for an operational Directive that will be implemented in all regional offices and legal services units across the Department.

Last Update (September 2012)

Status as of January 24, 2013

The LPMC established and consulted with a national working group consisting of representatives from both regional offices and headquarters' legal services units, which resulted in some amendments to the policy suite. The policy was completed and translated in December 2012. The LPMC is scheduled to present the policy suite to Management Committee on March 14, 2013 for their endorsement and to Executive Committee on March 27, 2013 for approval and formalization.

The action plan is 95% complete.

LEVEL 4 // Estimated Date of Completion: Policy Suite Approval – March 31, 2013 / Full Implementation – June 30, 2013

Update:

☐

Level 1 (No or insignificant progress)

☒

Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)

☐

Level 2 (Planning Stage: plans created & approved)

☐

Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)

☐

Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)

☐

Obsolete (Department considers the recommendation obsolete or no longer applicable)

Current Status as of March 31, 2013 (please provide details on progress against the management action plan):

Executive Committee approved the full suite of policy instruments on April 10, 2013. LPMC expects to implement the policy suite in all regional offices and legal services units across the Department by June 30, 2013.

The action plan is 98% complete.

Estimated Date of Completion:

Full Implementation – June 30, 2013

CAE Assessment

The CAE supports the management self-assessment at level 4.

Coordinator Name:	JODI SEGUIN	Tel#:	613-960-1693
OPI:	CAROLINE GUILLEMETTE	Tel#:	613-946-7641
Also sent to:	Daniel Schnob 613-948-5117 cc Carla Sanipelli 613-941-7343		

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: LEGAL AGENT ACCOUNT VERIFICATION PROCESS (LAAV) 2011

Recommendation # 3 (IA Ref# 2011-11-3)	Risk Ranking: Low
Rates & Delegation: It is recommended that the Director, LPMC ensure that the hourly rate guidelines and the delegated approval authorities are reviewed and modified.	

Management Response and Action Plan Agreed. With the introduction in recent years of competitive processes for the selection of legal agents, the hourly rate guidelines have become a secondary factor in establishing remuneration as market forces come into play through the proposal process. The guidelines remain relevant in the few cases where the work is assigned to an agent on a sole-source basis or further to a referral to the Minister of Justice.

Last Update (September 2012) Status as of January 24, 2013 The LPMC established and consulted with a national working group consisting of representative from both regional offices and headquarters' legal services units, which resulted in some amendments to the policy suite. The policy was completed and translated in December 2012. The LPMC is scheduled to present the policy suite to Management Committee on March 14, 2013 for their endorsement and to Executive Committee on March 27, 2013 for approval and formalization. Consultations are ongoing with CFOB to determine if amendments are required to the Department's <i>Delegation of Financial Signing Authorities Chart and Supporting Notes</i> . The action plan is 95% complete. LEVEL 4 // Estimated Date of Completion: Policy Suite Approval – March 31, 2013 / Full Implementation – June 30, 2013
--

Update: <div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> <input type="checkbox"/> Level 1 (No or insignificant progress) <input type="checkbox"/> Level 2 (Planning Stage: plans created & approved) <input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement) </div> <div style="width: 45%;"> <input checked="" type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation) <input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented) <input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable) </div> </div>	
Current Status as of March 31, 2013 (please provide details on progress against the management action plan): Executive Committee approved the full suite of policy instruments on April 10, 2013. LPMC expects to implement the policy suite in all regional offices and legal services units across the Department by June 30, 2013. Consultations with CFOB are complete, which resulted in a number of amendments to the Department's <i>Delegation of Financial Signing Authorities Chart and Supporting Notes</i> . These amendments are subject to Departmental approvals expected in late May 2013. The action plan is 98% complete.	
Estimated Date of Completion: Full Implementation – May 31, 2013	

Coordinator Name:	JODI SEGUIN	Tel#:	613-960-1693
OPI:	CAROLINE GUILLETTE	Tel#:	613-946-7641
Also sent to:	Daniel Schnob 613-948-5117 cc Carla Sanipelli 613-941-7343		

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: LEGAL AGENT ACCOUNT VERIFICATION PROCESS (LAAV) 2011

CAE Assessment
The CAE supports the management self-assessment at level 4.

Coordinator Name:	JODI SEGUIN	Tel#:	613-960-1693
OP:	CAROLINE GUILLEMETTE	Tel#:	613-946-7641
Also sent to:	Daniel Schnob 613-948-5117 cc Carla Sanipelli 613-941-7343		

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Canada Border Services Agency Legal Services Unit 2011

TAB 12/Onglet 12: Staffing/Resourcing Function/Fonction de dotation-ressourcement

Summary/Sommaire:

Tab/ Onglet	Audit Name/Nom de la vérification	Audit Date/Date de la vérification	Carry Over MAPs / PAG ouverts	MAPs Closed / PAG fermés
12	Staffing/Resourcing Function/ Fonction de dotation-ressourcement	June/Juin 2011	1	0

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Coordinator Name:		Tel#:	
OPI:	Leigh Taylor	Tel#:	613-946-2505
Also sent to:	Daniel Therrien 613-952-4774		

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Canada Border Services Agency Legal Services Unit 2011

Recommendation # 4 (IA Ref# 2011-54-4)	Risk Ranking: Medium
Controlling It is recommended that the Director General, HRPDD take the necessary steps to implement the Staffing Monitoring Framework.	

Management Response and Action Plan Agreed. The new Staffing Monitoring Framework has been endorsed by Senior Management. The new framework outlines ongoing monitoring activities (e.g. area of selection), cyclical activities (e.g. appointment file reviews), directed (e.g. acting appointments over 12 months), as well as thematic (e.g. delegation, priority administration, etc.) monitoring activities as well as the frequency of each. Completion date: Implementation of the approved framework has commenced and the completion of the current monitoring cycle and its associated activities is March 2013.
--

Last Update (September 2012) As part of the Monitoring Framework, in October 2012, Corporate Programs initiated an appointment file review exercise. This exercise was identified as a requirement in the departmental action plan to address PSC audit findings. The Report related to this review will be submitted to the Deputy Minister and senior management in February 2013. The Department will have completed a full cycle of staffing monitoring by its target date of March 31, 2013. LEVEL 4 // Estimated Date of Completion: March 2013
--

Update: <div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> <input type="checkbox"/> Level 1 (No or insignificant progress) <input type="checkbox"/> Level 2 (Planning Stage: plans created & approved) <input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement) </div> <div style="width: 45%;"> <input checked="" type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation) <input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented) <input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable) </div> </div>	
Current Status as at March 31, 2013 (please provide details on progress against the management action plan): To fully implement the Staffing Monitoring Framework (SMF), the remaining element was the completion of an internal appointment review exercise by Human Resources and Professional Development Directorate (HRPDD). The internal appointment review exercise was initiated on November 1, 2012 and concluded at the end of February, 2013. The final report regarding the findings of the review was submitted to the attention of the D.G., HRPDD and will be reported to senior management by end of May, 2013. Estimated Date of Completion: May 31, 2013	

CAE Assessment The CAE supports the management self-assessment at Level 4.
--

Coordinator Name:	Leigh Taylor	Tel#:	613-946-2505
OPI:	Daniel Therrien	Tel#:	613-952-4774
Also sent to:			

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Canada Border Services Agency Legal Services Unit 2011

TAB 13/Onglet 13: Canada Border Services Agency Legal Services Unit/SJM de l'Agence des services frontaliers du Canada

Summary/Sommaire:

Tab/ Onglet	Audit Name/Nom de la vérification	Audit Date/Date de la vérification	Carry Over MAPs / PAG ouverts	MAPs Closed / PAG fermés
13	Canada Border Services Agency Legal Services Unit/SJM de l'Agence des services frontaliers du Canada	Aug/Août 2011	2	1

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Coordinator Name:		Tel#:	
OPI:	Leigh Taylor	Tel#:	613-946-2505
Also sent to:	Daniel Therrien 613-952-4774		

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Canada Border Services Agency Legal Services Unit 2011

Recommendation # 4 (IA Ref# 2011-4-4)	Risk Ranking: Low
Controlling It is recommended that the Senior General Counsel ensure that the CBSA Legal Services Manual is finalized and distributed to staff.	

Management Response and Action Plan Agreed. The LSU's Office Procedures Manual will be finalized by March 31, 2012 and distributed to all staff. While there is a solid draft of the manual already prepared which is currently being used by staff, it is expected that there will be significant new procedures and direction developed over the course of the next six to eight months that will need to be documented in the manual.
--

Last Update (September 2012) There has been consistent work over the past 6 months to develop new procedures and direction, particularly with respect to issues like file closing procedures. Moreover, the working group responsible for the Manual has met to discuss a way forward. It remains to implement it. LEVEL 2 // Estimated Date of Completion: March 31, 2013

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input checked="" type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
Current Status as at March 31, 2013 (please provide details on progress against the management action plan): The working group tasked with this audit recommendation has met and some of the newly developed office procedures have been finalized. There has been some progress made on finalizing the overarching document.	
Estimated Date of Completion: June 30, 2013	

CAE Assessment The CAE supports the extension of the deadline.
--

Coordinator Name:		Tel#:	
OPI:	Leigh Taylor	Tel#:	613-946-2505
Also sent to:	Daniel Therrien 613-952-4774		

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Canada Border Services Agency Legal Services Unit 2011

Recommendation # 5 (IA Ref# 2011-5-5)	Risk Ranking: Low
Human Resources	
It is recommended that the Senior General Counsel ensure that the work objectives for team leaders refer to assigned responsibilities for their corporate priority in order to facilitate the performance appraisal process.	

Management Response and Action Plan
Agreed. As a result of the redesign of the LA classification standard, the team leaders in the LSU are now included in the Law Management (LC) Occupational Group and are required to prepare performance agreements as set out in Appendix B of the Treasury Board's Directive on the Performance Management Program for Executives. The Senior General Counsel will ensure that the team leaders' performance agreements include Key Commitments relating to those that the Senior General Counsel has identified in her performance agreement and that reflect the LSU's corporate management priorities as outlined in its business plan. As a result, each team leader will have objectives that refer to their priority activities as assigned by the Senior General Counsel. This recommendation is currently being implemented: the PSDI Portfolio is in the process of preparing performance agreements for its executives for fiscal 2011-12 and this recommendation will be implemented as those agreements are finalized.

Last Update (September 2012)
On May 23, 2012 the team managers held their annual planning exercise and set the office priorities for fiscal year 2012/13. Each team manager assumed responsibility for a number of these priorities. A record of decision was taken respecting these priorities. As a follow up, on October 21, the Executive Director and Senior General Counsel sent an e-mail to the team managers again setting out the priorities and asking each manager to prepare an action plan to address the priorities assigned to them, identifying the steps to be taken and the deadlines for each step. She will be meeting with each of the team managers over the next 2-3 weeks to evaluate the plans and discuss going forward.
LEVEL 4 // Estimated Date of Completion: December 15, 2012

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input checked="" type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
Current Status as at March 31, 2013 (please provide details on progress against the management action plan):	
Following the May 23, 2012 planning exercise, and the e-mail setting out the corporate objectives for each of the managers, the Executive Director met with each of the managers to discuss their corporate objectives. Each manager produced a work plan for their objectives, and the Executive Director and managers have discussed progress at regular intervals. These objectives are incorporated into individuals PMAs and the managers will be evaluated on their progress on the objectives. We are in the process of scheduling our annual planning exercise for fiscal year 2013/14 (likely to be held in early May), and will again set objectives for each of the managers. The cycle will begin again.	

Coordinator/Name:		Tel#:	
OPI:	Leigh Taylor	Tel#:	613-946-2505
Also sent to:	Daniel Therrien 613-952-4774		

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Canada Border Services Agency Legal Services Unit 2011

Estimated Date of Completion:
Complete

CAE Assessment
The CAE supports closing this recommendation as fully implemented.

Coordinator Name:		Tel#:	
OP:	Leigh Taylor	Tel#:	613-946-2505
Also sent to:	Daniel Therrien 613-952-4774		

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Regional Contracting 2011

TAB 14/Onglet 14: Regional Contracting/Marchés de services régionaux

Summary/Sommaire:

Tab/ Onglet	Audit Name/Nom de la vérification	Audit Date/Date de la vérification	Carry Over MAPs / PAG ouverts	MAPs Closed / PAG fermés
14	Regional Contracting/Marchés de services régionaux	Aug/Août 2011	8	1

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Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Regional Contracting 2011

Recommendation # 1 (IA Ref# 2011-36-1)	Risk Ranking: Medium
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Planning

It is recommended that the Director General, Administration Directorate, in conjunction with the regional directors of Corporate Services, ensure that adequate planning in relation to contracting activities is undertaken at the regional level.

Management Response and Action Plan

Agreed. The Director General, Administration Directorate will align procurement planning to business and investment planning in the Regions and at Headquarters. Target date September 2012.
Given the varied nature of the legal services provided by the Department and its lack of control over schedules to meet court-imposed directions and deadlines, many requirements, such as the litigation services mentioned in the audit, are time-sensitive. The Administration Directorate will award a number of multi-year procurement vehicles to meet recurring requirements such as printing, court reporting, transcription, and process servers. Use of these procurement vehicles will be mandatory for all clients. Target Date February 2012.

Last Update (September 2012)

Several key components of the action plan were previously completed, as outlined in the March 2012 update. An update on the two remaining components is provided below.

A Request for Standing Offer (RFSOs) for court reporters/transcription in British Columbia is posted and a standing offer should be issued by March 2013. RFSOs for other provinces with significant volumes of requirements will follow. A draft RFSO for process servers has been prepared and should be posted for Ontario by January 2013.

All the standing offers for process servers and for court reporting/transcription should be issued by December 2013.

LEVEL 4 // Estimated Date of Completion: December 15, 2013

Update:

<input type="checkbox"/> Level 1 (No or insignificant progress)	<input checked="" type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

Current Status as at March 31, 2013 (please provide details on progress against the management action plan):

Most of the key components were previously completed, as outlined in the September 2012 update.

Bids have been evaluated for the court reporter / transcription requirements in British Columbia and agreements will be awarded in April 2013. As well, The requests for standing offers (RFSOs) for court reporters/transcription were posted in March for Manitoba, Saskatchewan and Alberta. A RFSO for processes servers in Ontario was also posted.

All the standing offers for process servers and for court reporting/transcription should be issued by December 2013. The implementation has been delayed due to difficulties and delays in obtaining staffing approvals.

Estimated Date of Completion:

December 15, 2013

CAE Assessment

The CAE supports the extension of this deadline to December 2013 in light of system-wide staffing delays stemming from Budget 2012.

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Regional Contracting 2011

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Regional Contracting 2011

Recommendation # 4 (IA Ref# 2011-39-4)	Risk Ranking: Medium
Contracting Activity under \$10,000 It is recommended that the Director General, Administration Directorate, monitor contracting activity under \$10,000, including the sampling of contract files, to determine the extent of compliance with policies and procedures.	

Management Response and Action Plan
<p>Agreed. The Director General, Administration Directorate, will implement a Compliance and Monitoring Program. The Program will consist of a pre-award review for contracts over a predetermined value or for sensitive files. There will also be a post-contract award compliance review based on a target percentage of contracts within predetermined value ranges – for example, up to five percent of contracts valued between \$1,000 and \$10,000 will be subject to annual review. There will be ad hoc targeted reviews based on commodities as determined by the Director of Contracting and Materiel Management. These activities will support recommendations 4, 5, 6, 8, 10, 11, 12, 13 and 14. The Assistant Deputy Minister of the Management Sector has provided resources to support this activity. Target Date February 2012.</p> <p>The Department will develop training to address the processes, procedures and coding requirements for contracting, which will support recommendations 4, 6, 7, 10, 11, 12, 13, 14 and 15. The Assistant Deputy Minister of the Management Sector has provided resources to support this activity. Target Date December 2012.</p> <p>The Department will also create a series of policy instruments to improve procurement planning and compliance, which will support recommendations 4, 10, 11, 12, 14 and 15. The Assistant Deputy Minister of the Management Sector has provided resources to support this activity. Target Date February 2012.</p>

Last Update (September 2012)
<p>Several key components of the action plan were previously completed, as outlined in the March 2012 update. In regards to the two remaining components, the Monitoring and Compliance Program should be staffed and implemented by March 31, 2013, and a policy suite for contracting was presented and approved at Executive Committee on November 14, 2012 and will be issued by December 2012.</p> <p>LEVEL 4 // Estimated Date of Completion: March 31, 2013</p>

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input checked="" type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
Current Status as at March 31, 2013 (please provide details on progress against the management action plan):	
<p>Further to the September 2012 update, the Monitoring and Compliance Program will be implemented in June 2013 following indeterminate staffing action. The implementation has been delayed due to difficulties and delays in obtaining staffing approvals.</p> <p>The Contracting policy suite was approved at Executive Committee in November 2012 and was issued December 14, 2012.</p>	
Estimated Date of Completion:	
June 30, 2013	

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Regional Contracting 2011

CAE Assessment
The CAE supports the extension of the deadline in light of the system-wide staffing delays stemming from Budget 2012.

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Regional Contracting 2011

Recommendation # 7 (IA Ref# 2011-42-7)	Risk Ranking: Medium
Regional Contracts Review Committee It is recommended that the Director General, Administration Directorate, in conjunction with the regional directors general, ensure that the Regional Contracts Review Committees have clear terms of reference governing the exercise of their stewardship responsibilities with respect to contracting.	

Management Response and Action Plan Agreed. The Director General, Administration Directorate will standardize roles and responsibilities for all Regional Contracts Review Committees and revise their terms of reference to strengthen oversight. Target Date November 2011. As the authority for all Internal Services in the Region, the regional directors general (RDGs) play a key role and are in fact accountable for the management and service provision of contracting in a region. As such, RDGs are key partners with the Director General, Administration Directorate, in ensuring that contracting practices and supporting financial activities are carried out in compliance with government and departmental policies and procedures. As a longer-term measure to strengthen accountability, the Director General, Administration Directorate, in conjunction with the CFO, will review the delegation of contracting authority within the Department to rationalize where it is required, and establish a process to delegate contracting authority to areas that require it. Changes to delegation of contracting authorities will be sought as required. Target Date December 2012.
--

Last Update (September 2012) The Contract Review Committee document (Terms of Reference) has been sent to the Regional Directors General for another round of consultation and should be completed by February 2013. (80% complete) A review of contracting delegation was completed and will be done on an annual basis going forward. It should be noted that the contracting function within the Department has now been centralized within the CFO Branch, which already had responsibility for reviewing, maintaining, and updating the delegation chart. LEVEL 4 // Estimated Date of Completion: February 2013

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress) <input type="checkbox"/> Level 2 (Planning Stage: plans created & approved) <input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation) <input checked="" type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented) <input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
Current Status as at March 31, 2013 (please provide details on progress against the management action plan): Further to the September 2012 update, the Terms of Reference for the Contract Review Committee were approved by the Regional Directors General in March 2013.	
Estimated Date of Completion: N/A (Completed)	

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Regional Contracting 2011

CAE Assessment
The CAE supports closing this recommendation as fully implemented.

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Regional Contracting 2011

Recommendation # 8 (IA Ref# 2011-43-8)	Risk Ranking: Medium
Reporting & Quality of Information for Management Decision Making	
It is recommended that the Director General, Administration Directorate, ensure that contracting information in IFMS is regularly reviewed for data integrity (complete, accurate, and timely).	

Management Response and Action Plan
Agreed. The Director General, Administration Directorate, will review contracting data in IFMS as part of the Compliance and Monitoring Program. Target Date February 2012. Upon identification of requirements, it may be necessary to modify existing IFMS reports to enable the timely validation process in a sustainable manner (depending on funding). The Administration Directorate will prepare a training module for data integrity. Completed.

Last Update (September 2012)
Further to the March 2012 update, the Monitoring and Compliance Program should be staffed and implemented by March 31, 2013. LEVEL 4 // Estimated Date of Completion: March 31, 2013

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input checked="" type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
Current Status as at March 31, 2013 (please provide details on progress against the management action plan):	
Further to the September 2012 update, the Monitoring and Compliance Program will be implemented in June 2013 following indeterminate staffing action. The implementation has been delayed due to difficulties and delays in obtaining staffing approvals.	
Estimated Date of Completion:	
June 30, 2013	

CAE Assessment
The CAE supports the extension of the deadline in light of system-wide staffing delays stemming from Budget 2012.

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
FOPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Regional Contracting 2011

Recommendation # 9 (IA Ref# 2011-44-9)	Risk Ranking: Medium
Reporting & Quality of Information for Management Decision Making	
It is recommended that the Director General, Administration Directorate, in conjunction with the Chief Financial Officer, ensure that procedures, validation and edit rules are in place to manage contracting data.	

Management Response and Action Plan
Agreed. The Director General, Administration Directorate, will provide contracting procedures and coding requirements training to personnel who use their contracting authority. Phase I of the training - Completed June 2011. Target date for phase 2 of training - December 2011. The Compliance and Monitoring Program will monitor contract data on a quarterly or more frequent basis. Target Date February 2012.
Any other changes and enhancements to IFMS will be determined during the 2012-13 timeframe that the CFO Branch, has set to respond to the "Procure 2 Pay" re-engineering project requirements, subject to approval of the project as a priority within the investment planning exercise. Target Date March 2013.

Last Update (September 2012)
Further to the March 2012 CMMD update, the Monitoring and Compliance Program should be staffed and implemented by March 31, 2013.
In regards to the re-engineering project, the "Procure-to-Payment at Justice Project" was officially launched in November 2012 with an objective to have the business blueprint completed as a first phase. The second phase will consist of implementing the new functionality in IFMS and performing the business transformation required. The second phase is planned to be completed by the end of fiscal year 2013-14. To be noted is that this project is an inherent part of the CFO Branch cost-savings initiative.
LEVEL 3 // Estimated Date of Completion: April 2014

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input checked="" type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
Current Status as at March 31, 2013 (please provide details on progress against the management action plan):	
Further to the September 2012 update, the Monitoring and Compliance Program will be implemented in June 2013 following indeterminate staffing action. The implementation has been delayed due to difficulties and delays in obtaining staffing approvals.	
In regards to the "Procure to Payment at Justice Project", Justice is now a pilot department for the PWGSC IFMS Program Office (IFMS Core) procure to payment solution / footprint for all federal government departments using SAP.	
Justice will be involved in all the steps of the pilot process, including the building, testing, integration, and roll-out steps. This will facilitate a robust knowledge transfer as the departmental subject matter experts (SMEs) will work collaboratively with the IFMS Program Office throughout the pilot process.	

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
COPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Regional Contracting 2011

The timeline for the implementation of the procure to payment solution is government wide and is now estimated to be by the end of fiscal year 2014-2015.

Estimated Date of Completion:

March 31, 2015

CAE Assessment

The CAE supports management's self-assessment and the extension of deadlines in light of the interdependencies with the Procure-to-Payment project.

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Regional Contracting 2011

Recommendation # 10 (IA/Ref# 2011-45-10)	Risk Ranking: Medium
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Requirements Definition

It is recommended that the Director General, Administration Directorate, introduce measures that will ensure that work requirements are defined and documented prior to the start of the contracting process.

Management Response and Action Plan

Agreed. The Director General, Administration Directorate, will develop policy instruments outlining how to adequately define and document work requirements. In addition, training will be provided in this area and communiqués will be issued. This element will also be incorporated into the Compliance and Monitoring Program, in that a sampling of contract files will validate the definition of work requirements. Target Date February 2012.

Last Update (September 2012)

Several key components of the action plan were previously completed, as outlined in the March 2012 update. In regards to the two remaining components, the Monitoring and Compliance Program should be staffed and implemented by March 31, 2013, and a policy suite for contracting is scheduled to be presented at Executive Committee on November 14, 2012 for approval and will be issued by December 2012.

LEVEL 4 // Estimated Date of Completion: March 31, 2013

Update:

<input type="checkbox"/> Level 1 (No or insignificant progress)	<input checked="" type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

Current Status as at March 31, 2013 (please provide details on progress against the management action plan):

Further to the September 2012 update, the Monitoring and Compliance Program will be implemented in June 2013 following indeterminate staffing action. The implementation has been delayed due to difficulties and delays in obtaining staffing approvals.

The Contracting policy suite was approved at Executive Committee in November 2012 and was issued December 14, 2012.

Estimated Date of Completion:

June 30, 2013

CAE Assessment

The CAE supports the extension of the deadline in light of system-wide staffing delays stemming from Budget 2012.

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Regional Contracting 2011

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Regional Contracting 2011

Recommendation # 11 (IA Ref# 2011-46-11)	Risk Ranking: High
Procurement	
It is recommended that the Director General, Administration Directorate, introduce measures to enforce compliance with the issues noted above.	

Management Response and Action Plan
<p>Agreed. The Director General, Administration Directorate, will create policy instruments, develop a Compliance and Monitoring Program, and provide training to address compliance issues. The Policy framework for the Compliance and Monitoring Program will contain express provisions on reporting of non-compliance and to enforce compliance with contracting rules on Contract Splitting, Sole Source Contracts and After-the-Fact Contracts. The Compliance and Monitoring Program will consist of an initial review before the contract is awarded for contracts over a predetermined value or for sensitive files, in addition to a post-contract award compliance review based on a target percentage of contracts within predetermined value ranges – for example, up to five percent of contracts valued between \$1,000 and \$10,000 will be subject to annual review. There will be ad hoc targeted reviews based on commodities as determined by the Director of Contracting and Materiel Management. Target Date February 2012.</p> <p>Contracting compliance will be added to the performance agreements of all Direct Reports. Completed.</p> <p>Multi-year procurement vehicles will be developed to meet recurring requirements such as printing, court reporting, transcription and process servers. Target Date February 2012.</p>

Last Update (September 2012)
<p>Further to the March 2012 update, a Request for Standing Offer (RFSOs) for court reporters/transcription in British Columbia is posted and a standing offer should be issued by March 2013. RFSOs for other provinces with significant volume of requirements will follow. A draft RFSO for process servers has been prepared and should be posted for Ontario by January 2013.</p> <p>All the standing offers for process servers, court reporting/transcription should be issued by December 2013.</p> <p>LEVEL 4 // Estimated Date of Completion: December 2013</p>
March 2012 Update:
<p>Contracting training was developed and provided in the regions between September and December 2011. (100% complete)</p> <p>Draft policy instruments, Contracting Policy and Guidelines for Managing Services Contracts are prepared. These two documents will be reviewed and approved. Target for approval is September 2012. (75% complete).</p> <p>The Compliance and Monitoring program was developed and piloted in February and March 2012. A staffing process for a Quality Assurance Officer is complete and staffing appointment is required to implement the program. (80% complete) Target date: October 2012</p> <p>The Contracting and Materiel Management Division has draft solicitation documents for process servers and court reporting and transcription on a regional or provincial basis. These solicitations will be done on a phased basis due to the number of solicitations required and the varying provincial requirements that govern these services. These documents will be finalized and the posting will start in June 2012 with a target date of the fall for the first agreements. All agreements are planned be in place by December 2013. (50% completed)</p>

Commented [DT3]:
Added this March 2012 update for context during the updating process.

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input checked="" type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Regional Contracting 2011

<input type="checkbox"/>	Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/>	Obsolete (Department considers the recommendation obsolete or no longer applicable)
Current Status as at March 31, 2013 (please provide details on progress against the management action plan):			
<p>The Contracting policy suite was approved at Executive Committee in November 2012 and was issued December 14, 2012. The Guidelines for Managing Services Contracts are currently in consultation and should be promulgated by June 15, 2013.</p> <p>The Monitoring and Compliance Program will be implemented in June 2013 following indeterminate staffing action. The implementation has been delayed due to difficulties and delays in obtaining staffing approvals.</p> <p>Bids have been evaluated for the court reporter / transcription requirements in British Columbia and agreements will be awarded in April 2013. As well, The requests for standing offers (RFSOs) for court reporters/transcription were posted in March for Manitoba, Saskatchewan and Alberta. A RFSO for processes servers in Ontario was also posted.</p> <p>All the standing offers for process servers and for court reporting/transcription should be issued by December 2013.</p>			
Estimated Date of Completion:			
December 15, 2013			

CAE Assessment
The CAE supports the extension of the deadline to December 2013.

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Regional Contracting 2011

Recommendation # 12 (IA Ref# 2011-47-12)	Risk Ranking: Medium
Solicitation Activities	
It is recommended that the Director General, Administration Directorate, establish measures to enforce that contracting files demonstrate that solicitation activities and decisions have been conducted in a transparent manner.	

Management Response and Action Plan
Agreed. The Director General, Administration Directorate, will create policy instruments, develop a Compliance and Monitoring Program, and provide training to ensure that contracting files demonstrate that solicitation activities and decisions have been conducted in a transparent manner. The Compliance and Monitoring Program Framework will contain express provisions on enforcement consequences. Target Date February 2012.

Last Update (September 2012)
Further to the March 2012 update, the Monitoring and Compliance Program should be staffed and implemented by March 31, 2013, and a policy suite for contracting is scheduled at Executive Committee for November 14, 2012 for approval and will be issued by December 2012.
LEVEL 4 // Estimated Date of Completion: March 31, 2013

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress) <input type="checkbox"/> Level 2 (Planning Stage: plans created & approved) <input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input checked="" type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation) <input type="checkbox"/> Level 5 (Full implementation - Structures & processes operating as intended and are fully implemented) <input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
Current Status as at March 31, 2013 (please provide details on progress against the management action plan):	
Most of the key components were previously completed, as outlined in the September 2012 update.	
The Monitoring and Compliance Program will be implemented in June 2013 following indeterminate staffing action. The implementation has been delayed due to difficulties and delays in obtaining staffing approvals.	
The Contracting policy suite was approved at Executive Committee in November 2012 and was issued December 14, 2012.	
Estimated Date of Completion:	
June 30, 2013	

CAE Assessment
The CAE supports extending the deadline for this recommendation in light of system-wide staffing delays stemming from Budget 2012.

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPB:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Regional Contracting 2011

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Tax Law Services Ottawa 2011

**TAB 15/Onglet 15: Tax Law Services Ottawa Section/Services du droit fiscal
section d'Ottawa**

Summary/Sommaire:

Tab/ Onglet	Audit Name/Nom de la vérification	Audit Date/Date de la vérification	Carry Over MAPs / PAG ouverts	MAPs Closed / PAG fermés
15	Tax Law Services Ottawa Section/ Services du droit fiscal section d'Ottawa	July/Juillet 2011	1	0

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Coordinator Name:		Tel#:	
OPI:	Jade Boucher	Tel#:	613-957-1375
Also sent to:	Micheline Van-Erum 613-957-4811		

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Tax Law Services Ottawa 2011

Recommendation # 2 (IA Ref# 2011-62-2)	Risk Ranking: Medium
Human Resource Planning	
It is recommended that the Director, TLS – Ottawa Section ensure that a formal TLS succession plan is developed and updated on a regular basis.	

Management Response and Action Plan
Agreed. The TLS – Ottawa Section will work in close collaboration with the office of the ADAG, TLS Portfolio to develop and implement a national succession plan. Completion date: In conjunction with the regional offices and the TLS – Ottawa Section, the TLS Portfolio will develop a national succession plan by the end of this fiscal year. This plan will be updated on a regular basis.

Last Update (September 2012)
L'analyse des écarts et la préparation du plan de relève national ont été reportées contenu que le plan d'action du Portefeuille visant à mettre en œuvre les réductions budgétaires n'est pas finalisé.
LEVEL 1 // Estimated Date of Completion: March 31, 2012

Update:	
<input checked="checked" type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
Current Status as at March 31, 2013 (please provide details on progress against the management action plan):	
The analysis of the gap and the development of a formal TLS succession plan for each office continue to be delayed. The delay is due to TLS budget reductions and commitments under the Economic Action Plan 2012, with full implementation of the Portfolio initiatives expected by March 31, 2015. During this period, the TLS is continuing to review with the CRA client the various levels of services needed, and all TLS Sections will continue to participate in department-wide reductions in the number of its employees. In addition, the Portfolio has delayed developing its national succession plan in order to be aligned with a new departmental initiative to standardize the succession planning process department-wide. In the interim, the Portfolio will discuss any critical gaps at National Tax Board of Directors meetings and continue to take appropriate actions for TLS Sections on a nationally coordinated basis.	
Estimated Date of Completion: March 31, 2015	

CAE Assessment
The CAE supports extending the deadline in light of the significant changes in the operating environment stemming from Budget 2012.

Coordinator Name:		Tel#:	
OPR:	Jade Boucher	Tel#:	613-957-1375
Also sent to:	Micheline Van-Erum 613-957-4811		

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Tax Law Services Ottawa 2011

Coordinator Name:		Tel#:	
OPI:	Jade Boucher	Tel#:	613-957-1375
Also sent to:	Micheline Van-Erum 613-957-4811		

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Acquisition Cards 2012

TAB 16/Onglet 16: Tax Law Services Prairie Region/Services du droit fiscal région des Prairies

Summary/Sommaire:

Tab/ Onglet	Audit Name/Nom de la vérification	Audit Date/Date de la vérification	Carry Over MAPs / PAG ouverts	MAPs Closed / PAG fermés
16	Tax Law Services Prairie Region/ Services du droit fiscal région des Prairie	July/Juillet 2011	1	1

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Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Acquisition Cards 2012

Recommendation # 3 (IA Ref# 2011-70-3)	Risk Ranking: Low
Administration of Financial Resources It is recommended that the Regional Director, TLS – Prairie Region, in conjunction with the Information Management Branch, ensure that administrative assistants are given the capability to view IFMS reports from their workstations.	

Management Response and Action Plan
Agreed. The Director will ensure that administrative assistants are given capability to review IFMS reports from their workstations, along with any necessary training. Completion Date: December 31, 2011.

Last Update (September 2012)
The AS2 in Winnipeg was provided with some training in May in conjunction with the training offered in relation to the Cost Recovery Improvement Project. Both the AS2 and AS1 will be provided with further training in Winnipeg on November 28th. Due to scheduling conflicts, the training in Edmonton of the AS1 and AS2 had to be rescheduled. Both the AS1 and AS2 will be provided with training on November 27th in Edmonton. LEVEL 4 // Estimated Date of Completion: November 28, 2012

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress) <input type="checkbox"/> Level 2 (Planning Stage: plans created & approved) <input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation) <input checked="" type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented) <input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
Current Status as at March 31, 2013 (please provide details on progress against the management action plan):	
The Administrative Assistants have been provided with access to IFMS reports and have received the necessary training.	
Estimated Date of Completion:	
Action Plan item is fully implemented.	

CAE Assessment
The CAE supports that this recommendation be closed as fully implemented.

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Acquisition Cards 2012

TAB 17/Onglet 17: Acquisition Cards/Cartes d'achat

Summary/Sommaire:

Tab/ Onglet	Audit Name/Nom de la vérification	Audit Date/Date de la vérification	Carry Over MAPs / PAG ouverts	MAPs Closed / PAG fermés
17	Acquisition Cards/ Cartes d'achat	Mar 2012	1	0

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Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Acquisition Cards 2012

Recommendation # 1 (IA Ref# 2012-1-1)	Risk Ranking: Low
Acquisition Card Payment Discounts	
It is recommended that the CFO implement in IFMS the ability to pay the card provider with a single payment.	

Management Response and Action Plan
Agreed. This functionality, which is part of the Federal Government's SAP footprint, is scheduled to be implemented as a part of the Procure-to-Pay re-engineering project. This project is pending approval from the Department's Executive Committee. The project is planned to be done in two phases. The first phase will consist of producing the business blueprint. The second phase will consist of implementing the new functionality in the Integrated Financial and Materiel System (IFMS) and performing the business transformation required. The second phase is planned to be completed by the end of fiscal year 2013-14.

Last Update (September 2012)
This functionality, which is part of the Federal Government's SAP footprint, continues to be scheduled for implementation as a part of the Procure-to-Payment re-engineering project. The "Procure-to-Payment at Justice Project" was officially launched in November 2012 with an objective to have the business blueprint completed as a first phase. The second phase will consist of implementing the new functionality in IFMS and performing the business transformation required. The second phase is planned to be completed by the end of fiscal year 2013-14. To be noted is that this project is an inherent part of the CFO Branch cost-savings initiative.
LEVEL 2 // Estimated Date of Completion: April 2014

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input checked="" type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
Current Status as at March 31, 2013 (please provide details on progress against the management action plan):	
Justice is now a pilot department for the PWGSC IFMS Program Office (IFMS Core) procure to payment solution / footprint for all federal government departments using SAP.	
Justice will be involved in all the steps of the pilot process, including the building, testing, integration, and roll-out steps. This will facilitate a robust knowledge transfer as the departmental subject matter experts (SMEs) will work collaboratively with the IFMS Program Office throughout the pilot process.	
The timeline for the implementation of the procure to payment solution is government wide and is now estimated to be by the end of fiscal year 2014-2015.	
Estimated Date of Completion:	
March 31, 2015	

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Acquisition Cards 2012

CAE Assessment
The CAE supports extending the deadline for this recommendation in light of the interdependencies with the Procure-to-Payment project.

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Official Languages 2012

TAB 18/Onglet 18: Official Languages/Vérification des langues officielles

Summary/Sommaire:

Tab/ Onglet	Audit Name/Nom de la vérification	Audit Date/Date de la vérification	Carry Over MAPs / PAG ouverts	MAPs Closed / PAG fermés
18	Official Languages/ Vérification des langues officielles	Mar 2012	3	2

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Coordinator Name:	Jo-Anne Brisebois	Tel#:	(613) 957-4220
OPI:	Joan Pratt	Tel#:	(613) 941-1867
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Official Languages 2012

Recommendation # 1	Risk Ranking: Medium
Roles, Responsibilities and Accountabilities It is recommended that the Director General, Human Resources and Professional Development Directorate undertake additional efforts to communicate the distinctive official languages-related roles, responsibilities and accountabilities of the Corporate Staffing, Official Languages and Recognition Unit in relation to those of the other areas within the Department (i.e. the Office of La Francophonie, Justice in Official Languages and Legal Dualism; and the Official Languages Law Section.)	

Management Response and Action Plan Agreed. The Director General, Human Resources and Professional Development Directorate (HRPDD) agrees to: <ul style="list-style-type: none"> • Offer new employee NCR orientation sessions, which include an OL component to highlight and clarify the roles and responsibilities of the various units • Make further updates to OL site on HR and You ensuring that roles and responsibilities are clearly defined • Work in collaboration with the other units to ensure that their websites provide a link to the OL site contained within HR and You (i.e. cross referencing with the sites from the Office of La Francophonie, Justice in OL and Legal Dualism and the OL Law Section) and that their sites reflect the roles as outlined in the new OL Framework • Develop and disseminate a communiqué to all delegated managers detailing the roles with in the new OL Framework • Raise awareness through ad hoc attendance at Portfolio/Branch/Sector management team meetings • Ensure that OL Champions Network clarify roles within their respective organizations.
--

Last Update (September 2012) n/a (Update start 6 months after Report is finalized.)

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress) <input type="checkbox"/> Level 2 (Planning Stage: plans created & approved) <input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation) <input checked="" type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented) <input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

Current Status as at March 31, 2013 (please provide details on progress against the management action plan): All the proposed actions have been implemented as described and within the allocated timeframes detailed in the Management Response table (see attached). Changes to the OL portion of the Department's Intranet site were made in the summer of 2012 to clarify roles and responsibilities. Further updates were made in November, 2012 to align departmental policies with revised TBS policies. These were communicated in JustInfo in March of this year. Awareness continues to be raised through attendance at management team meetings on an ad hoc basis and other methods, e.g. an email sent on June 22, 2012 on official languages requesting that managers in the Management Sector allocate time at an upcoming team meeting to review with their employees a deck on official languages.
Estimated Date of Completion: N/A

Coordinator Name:	Jo-Anne Brisebois	Tel#:	(613) 957-4220
OPI:	Joan Pratt	Tel#:	(613) 941-1867
Also sent to:			

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Official Languages 2012

n/a

CAE Assessment

The CAE supports that this recommendation be closed as fully implemented.

Coordinator Name:	Jo-Anne Brisebois	Tel#:	(613) 957-4220
OPI:	Joan Pratt	Tel#:	(613) 941-1867
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Official Languages 2012

Recommendation # 2	Risk Ranking: Low
Mechanism to Share Issues Internally <p>It is recommended that the Director General, Human Resources and Professional Development Directorate formalize and communicate an internal process to ensure that issues (e.g. number of complaints, trends) arising from complaints received through the Office of the Commissioner of Official Languages, are brought to the attention of the Network of Sectoral and Regional Official Languages Champions.</p>	

Management Response and Action Plan <p>Agreed. The Director General, Human Resources and Professional Development Directorate agrees that there is a need to ensure that official languages issues are effectively addressed internally and that there is a scope for reporting to the OL Sectoral Champions Network globally on issues relating to official languages given the role these champions play in raising awareness of OL in the workplace. The Director General, Human Resources and Professional Development Directorate will accordingly formalize and communicate internal processes to ensure that aggregate information about official languages-related matters, are brought to the attention of the OL Sectoral Champions.</p> <p>Since the conduct of the audit, a new OL Steering Committee has been put in place and serves as a forum to discuss OL issues and trends.</p>
--

Last Update (September 2012) <p>n/a</p>

Update: <div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> <input type="checkbox"/> Level 1 (No or insignificant progress) <input type="checkbox"/> Level 2 (Planning Stage: plans created & approved) <input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement) </div> <div style="width: 45%;"> <input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation) <input checked="" type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented) <input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable) </div> </div>	
Current Status as at March 31, 2013 (please provide details on progress against the management action plan): <p>Since the audit, the Senior OL Advisor has established and maintains a direct link with the new OL Champion and also with the new Co-Champion who chairs the OL Sectoral Champions Network. At the April 10th meeting the group discussed the committee's mandate as well as the possible creation of a departmental OL Web Portal which would combine, into one site, the revamped Corporate OL Intranet site as well as the sites from the Office of La Francophonie, Justice in OL and Legal Dualism and the OL Law Section. The creation of the Portal may be delayed because of a review and update to the Intranet structure as a whole. Regardless, work on the Portal will continue and structural revisions made as needed.</p>	
Estimated Date of Completion: N/A	

CAE Assessment <p>The CAE supports closing this recommendation as fully implemented.</p>
--

Coordinator/Name:	Jo-Anne Brisebois	Tel#:	(613) 957-4220
OPIL:	Joan Pratt	Tel#:	(613) 941-1867
(Also Sent) to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Official Languages 2012

Recommendation # 3	Risk Ranking: Low
Resources It is recommended that the Director General, Human Resources and Professional Development Directorate formally review the current organizational structure of the Corporate Staffing, Official Languages and Recognition Unit in light of current requirements and expected level of service to ensure that resources have been allocated appropriately.	

Management Response and Action Plan Agreed. The Director General, Human Resources and Professional Development Directorate will review the current organizational structure of the OL unit to ensure that it is adequately resourced and that expected levels of service can be met. Some changes have already been made. The work description for the OL Advisor has been reviewed and is now classified at the AS-5 level rather than PE. This has allowed the Department to have access to a much broader pool of candidates given that the majority of OL coordinators in government are classified in the AS Group. In addition, 50% of another resource is now dedicated to providing support to the OL Advisor and 50% of the Manager position. Further consideration will be given in the context of changes to internal services as appropriate.

Last Update (September 2012)
n/a

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input checked="" type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

Current Status as at March 31, 2013 (please provide details on progress against the management action plan):

Classification of the Senior OL Advisor position to an AS-05 group and level, as referenced above, lead to the appointment of a seasoned OL Advisor. This has led to the effective management of the parts of the OL Program that fall under the HR Directorate's responsibility. Changes to internal services and other factors have made the dedication of resources to support the OL Advisor a challenge.

Estimated Date of Completion:
September, 2013

CAE Assessment
The CAE supports the extension of the deadline for this recommendation to September 2013 in light of system-wide staffing delays stemming from the Budget 2012.

Coordinator/Name:	Jo-Anne Brisebois	Tel#:	(613) 957-4220
OPI:	Joan Pratt	Tel#:	(613) 941-1867
Also sent to:			

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Official Languages 2012

Coordinator Name:	Jo-Anne Brisebois	Tel#:	(613) 957-4220
OPI:	Joan Pratt	Tel#:	(613) 941-1867
Also sent to:			

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Legislative Services 2012

TAB 19/Onglet 19: Legislative Services/Vérification des services législatifs

Summary/Sommaire:

Tab/ Onglet	Audit Name/Nom de la vérification	Audit Date/Date de la vérification	Carry Over MAPs / PAG ouverts	MAPs Closed / PAG fermés
19	Legislative Services/ Vérification des services législatifs	Oct 2012	1	0

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Coordinator Name:	Ralph Mercedat	Tel#:	(613) 957-0014
OPI:	Philippe Hallée	Tel#:	(613) 941-4178
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Legislative Services 2012

Recommendation # 1	Risk Ranking: Low						
Resource Utilization It is recommended that the Chief Legislative Counsel, Legislative Services Branch (LSB) introduce a formalized process for resource planning and monitoring on a project basis.							
Management Response and Action Plan Agreed. The Chief Legislative Counsel, LSB will review and analyze past complex legislative projects in order to integrate and develop project management principles that are sensitive to the operational demands of the Branch. The Chief Legislative Counsel, LSB will then introduce a more formalized process for allocating and monitoring resources that reflects the particular context of the Branch. Targeted Completion Date: March 31st, 2013.							
Last Update (September 2012) n/a							
Update: <table border="0"> <tr> <td><input type="checkbox"/> Level 1 (No or insignificant progress)</td> <td><input checked="" type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)</td> </tr> <tr> <td><input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)</td> <td><input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)</td> </tr> <tr> <td><input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)</td> <td><input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)</td> </tr> </table>		<input type="checkbox"/> Level 1 (No or insignificant progress)	<input checked="" type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)	<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)	<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input checked="" type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)						
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)						
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)						
Current Status as at March 31, 2013 (please provide details on progress against the management action plan): We have hired a consulting firm to review and analyze past legislative files. The consulting firm conducted interviews of all the key personnel involved in the drafting process to understand the current practices in legislative projects. They found that LSB is only one player in a broader legislative development process, and that external issues have a major influence on the ability of LSB to deliver on project objectives. Based on these interviews and the examination of our existing practices, they developed principles for project management, tailored for legislative projects. Although they recognized that many of these principles were already practiced at LSB, they felt that there were opportunities for standardizing and improving our project management tools. The consulting firm provided a detailed description of the characteristics of the project management tools that LSB could implement within legislative projects. In the upcoming months, LSB will continue to work with the consulting firm to improve our existing project management tools and create new ones. Once the tools have been fully developed, we will run pilot projects to test them. At the conclusion of the pilot period, we will review and assess them, and then seek to apply them more broadly.							
Estimated Date of Completion: March 31, 2014							

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OPI:	Philippe Hallée	Tel#:	(613) 941-4178
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**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Legislative Services 2012

CAE Assessment

The CAE supports management's self-assessment, noting that the auditee requested to participate in the MAP follow-up process even though it had only been five months since the audit was completed.

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**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: REPORT OF THE AUDITOR GENERAL OF CANADA 2007

TAB 20/Onglet 20: OAG/BVG

Summary/Sommaire:

Tab/ Onglet	Audit Name/Nom de la vérification	Audit Date/Date de la vérification	Carry Over MAPs / PAG ouverts	MAPs Closed / PAG fermés
20	OAG/ BVG	2007	3	2

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Coordinator Name:	Jo-Anne Brisebois	Tel#:	(613) 957-4220
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Also sent to:	Jodi Bromley (5.93)		

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: REPORT OF THE AUDITOR GENERAL OF CANADA 2007

OAG Audit Recommendation # 5.25 Report 2007-05 – Chapter 5	Risk Ranking:
Managing the Delivery of Legal Services to Government – Department of Justice Canada	
In addition to its current management of alternative dispute resolution initiatives, Justice Canada should ensure that it clearly defines each initiative's objectives, estimates the potential cost savings and formally reviews the outcome of initiatives against their objectives	

Management Response and Action Plan
The Department agrees with the Auditor General's recommendation, which is consistent with the recent review of the Department's dispute resolution initiative that has resulted in a new mandate focused on providing services to departments supporting long-term prevention and early resolution of disputes. These client-focused services include systems design, legal advisory support, and training, all of which are linked to the departmental priorities of improving practice management and managing the volume of litigation.

Last Update (June 2012)
<p>2. Development of Performance Measurement Tools for Dispute Resolution Initiatives</p> <p>In 2011-2012, the Department of Justice continued to advance its multi-year project aimed at developing performance measurement tools for DR initiatives.</p> <p>A draft Performance Measurement Framework (PMF) was developed in June 2011. The PMF contains a number of elements aimed at ensuring that Justice has systems in place for regular reporting on DR, ongoing and methodologically sound analysis of the value of DR, and information to support operational decision-making on DR in the management of the litigation inventory. In addition, the framework aims to ensure that client departments will have support and advice from Justice in the use of performance measurement in their own DR programs and initiatives.</p> <p>The following key elements of the PMF were developed in fiscal year 2011-2012:</p> <ul style="list-style-type: none"> • A preliminary methodology for quantifying and understanding the impact of various DR mechanisms; • Tools to capture the impact of training and knowledge transfer; and • A draft Guide to Performance Measurement in DR initiatives. (The Guide will be finalized and launched in 2012-2013.) <p>Several different initiatives are underway to support the development of a DPR performance management regime. At the request of AMREC, timelines and deliverables were re-examined with the objective of accelerating the work to respond to the Auditor General's specific recommendation. A new work plan is being developed for approval by the end of July. Consideration on future priorities will be re-examined in the context of the Economic Action Plan 2012.</p> <p>Assessment Level: Level 3 - Preparations for implementation</p>

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input checked="" type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

Coordinator Name:	Jo-Anne Brisebois	Tel#:	(613) 957-4220
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**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: REPORT OF THE AUDITOR GENERAL OF CANADA 2007

Current Status as at March 31, 2013 (please provide details on progress against the management action plan):
<p>At the time of the OAG audit, files examined by the OAG related to dispute resolution initiatives in which the Department supported client departments in designing and launching "pilot" projects whereby the client departments and agencies could develop practices and processes for ensuring that they were able to incorporate due consideration of dispute prevention and resolution into their policy and program development and delivery activities. In its review of Justice Canada files, the OAG found that the dispute resolution projects lacked clear objectives, and that there was a need to estimate potential cost savings and to review the outcome of the dispute prevention and resolution initiatives against clearly stated project objectives. (Note that some of the files examined by the OAG related to "pilot" projects funded by the Department of Justice through the Dispute Resolution Fund which was terminated in 2002-03.)</p> <p>However, in fiscal year 2012-13, as part of a series of internal budget compression measures, the Department ceased funding dispute resolution projects of this nature and redeployed resources to other departmental priorities. Consequently, the recommendation is deemed to be obsolete. Nevertheless, Department of Justice legal counsel continue to support client departments and agencies by providing legal advice where dispute resolution is a potential option for resolution of both legal advisory and litigation matters.</p>
Estimated Date of Completion:

CAE Assessment
<p>The CAE supports the closure of this recommendation as obsolete given the cessation of Departmental funding for client led dispute resolution initiatives / projects.</p>

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MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: REPORT OF THE AUDITOR GENERAL OF CANADA 2007

OAG Audit Recommendation # 5.62	Risk Ranking:
Report 2007-05 – Chapter 5	
Managing the Delivery of Legal Services to Government – Department of Justice Canada	
Justice Canada should develop a quality management system or systems for each of its practices to provide senior management with ongoing and reliable assurance that all services meet established minimum quality standard.	

Management Response and Action Plan
The Department agrees with the Auditor General's recommendation and will build on the elements of its quality work recognized by the Office of the Auditor General with a view to having a sound quality management approach.

Last Update (June 2012)
<p>1. Quality Assurance Framework (QAF)</p> <p>The Department's QAF initiative encompasses three parts, each composed of unique underlying pillars:</p> <ul style="list-style-type: none"> Part 1 provides contextual information (e.g., the types of legal services delivered, and the Department's service delivery structure and roles and responsibilities) and a definition of "quality" legal services and related quality service standards; Part 2 provides a detailed inventory of quality assurance tools and processes currently in place across the Department to meet the quality service standards; and Part 3 will identify quality assurance indicators and will establish an appropriate governance strategy (including functional authority, reporting and continuous improvement), communications plan and implementation plan. <p>Revisions to the QAF were made pursuant to a comprehensive research paper prepared in 2011 that provided globally accepted definitions and practices from the International Organization for Standards (ISO) and precedents from international, federal, provincial and other government institutions, non-government organizations and legal services providers. Findings from this research paper and further feedback from members of the Justice Quality Assurance Working Group and other internal stakeholders were reflected in revisions to the format and content of Parts 1 and 2 of the QAF and informed work underway on Part 3. (The Working Group has had six meetings so far.)</p> <p>Recommendations regarding the underlying pillars of the QAF will be considered by senior management in summer 2012. The complete QAF is expected to be presented to senior management by the end of 2012. Roll-out of the QAF is expected to commence in early 2013.</p> <p>Assessment 2102: Level 3 - Preparations for implementation</p>

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input checked="" type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
Current Status as at March 31, 2013 (please provide details on progress against the management action plan):	
The Department's QAF initiative was developed as recommended by the OAG and approved by the Executive Committee in March 2013. It includes: a definition for quality legal services; quality standards; existing processes and tools; and, indicators and monitoring mechanisms. A communications plan is underway to launch the QAF. The first report on the QAF is expected during the Fall 2014.	

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**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: REPORT OF THE AUDITOR GENERAL OF CANADA 2007

Estimated Date of Completion:

CAE Assessment
The CAE supports the management self-assessment at Level 4.

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MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: REPORT OF THE AUDITOR GENERAL OF CANADA 2007

OAG Audit Recommendation # 5.93	Risk Ranking:
Report 2007-05 – Chapter 5	
Managing the Delivery of Legal Services to Government – Department of Justice Canada	
Justice Canada should make improvements to its resource management. The Department should:	
<ul style="list-style-type: none"> - use management information on workload volumes and costs for all of its legal services to better monitor trends, plan, set priorities, manage resources, analyze service delivery options, and identify opportunities for controlling costs; - work with client departments to effectively plan, manage, and improve the cost-effectiveness of their financial arrangements with a view to managing demand for legal services and thereby reducing costs; and - ensure that a senior manager with the necessary authority leads the improvement of management practices at the Department and oversees implementation of these changes. 	

Management Response and Action Plan
<p>The Department agrees with the Auditor General's recommendation. The Department of Justice Canada will continue the work underway to develop approaches to further develop its capacity to use management information to enhance management decisions, and regularize its cost recovery agreements with government departments.</p> <p>The Department is currently working on putting in place an initiative to better coordinate and integrates its law management practices. The Department will, at the same time, review its management practices to identify and put in place corporate reports to provide management information to support departmental decision making. Senior management authority to lead our work on management practices will be strengthened.</p>

Last Update (June 2012)
<p>Justice's legal case management application (iCase) and Echo (a companion reporting tool that complements the reporting capabilities of iCase) continue to be used to support corporate reporting needs and to assist Justice managers and client departments in effectively planning, setting priorities, managing resources and managing the demand for legal services. A variety of initiatives have been piloted using Echo to generate standard information on the volume of files, workload effort (hours), and levels of legal risk and complexity, and to respond to specific management information requirements. Documentation on the use of Echo has been developed.</p> <p>The results of the Echo pilots were used to design legal services management dashboards. These dashboards provide case management information to support the planning and management of resources and management of the demand for legal services. The dashboards were well received by senior management. Documentation on the use of the dashboards is being developed and preparations for deployment are underway.</p> <p>As part of a series of changes being introduced to improve cost recovery practices, the Department implemented a more standard approach to the development of cost recovery forecasts for individual client organizations. To support these efforts, Echo was used to generate historical information on level of effort and file inventory data for client organizations. This information supports planning and forecasting for the provision of legal services and is now available directly through the legal services management dashboards.</p> <p>Justice also implemented an improved interface that defines and provides easy access to the suite of iCase reports available to support the management of legal services.</p> <p>Justice is also participating in an initiative led by the Chief Information Officer Branch of the Treasury Board Secretariat aimed at selecting case management software to support the business requirements of departments and agencies across the Government of Canada.</p> <p>Business process models (BPMs) outlining activities related to the management and delivery of legal services continue to be used to support managers and iCase users in identifying business requirements and managing resources.</p> <p>In order to better integrate managers across the Department in the decision-making and information-sharing processes, Justice introduced changes that streamlined its overall governance structure. The former Law Practice Management Committee and other departmental committees that dealt with management and financial issues have now been consolidated into one entity. The Law Practice Management Directorate within the Management Sector now makes recommendations to senior management through the Department's new governance structure and continues to work in collaboration with various working groups and advisory committees to advance key initiatives related to the management of the practice of law.</p>
Assessment Level: Level 4 – Substantial implementation

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MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: REPORT OF THE AUDITOR GENERAL OF CANADA 2007

Current Status as at March 31, 2013:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input checked="" type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

Since the 2007 OAG Audit on Managing the Delivery of Legal Services to Government, Justice Canada has notably improved its resource management practices.

- An enhanced suite of tools, processes and standards are enabling the Department to:
 - use management information on workload volumes and costs to better monitor trends, plan, set priorities, manage resources, analyze service delivery options and identify opportunities for controlling legal services costs; and
 - work with client organizations to effectively plan, manage, and improve the cost effectiveness of legal services..
- In 2009-2010, Justice introduced standard templates for Memoranda of Understanding (MOU) with client organizations for the provision of legal services. MOUs support transparent and accountable resource management and enable departments and agencies to effectively plan, monitor and manage their demand for legal services. In August 2012, following the introduction of new business standards related to cost recovery, the Department updated the MOU templates. In January 2013, the Department also updated a key supporting guidance documents that promotes quality and consistency in the development and implementation of MOUs (i.e., the *Accountability Framework for MOUs Related to the Provision of Legal Services*) to reflect the new business standards, roles, responsibilities and processes for cost recovery, and to highlight the importance of joint planning discussions. The Department also developed a revised template for the Planning and Forecasting Annex (entitled Annex B) of the MOU for implementation in 2013-14. The new Annex B template includes an attestation statement to be signed by both the Justice and client Contacts for the Management the MOU confirming that the forecast presented in the MOU reflects the results of joint planning discussions between Justice and the client organization, including consideration of options for controlling legal services costs.
- The development of forecasting tools and enhanced reporting capabilities on the cost of legal services implemented through the Cost Recovery Process Improvement Project, have strengthened the collective ability of Justice and its client organizations to make informed decisions about legal services requirements and associated costs.
- Justice's legal case management application (iCase) and Echo (a companion reporting tool that complements the reporting capabilities of iCase) continue to be used to support corporate reporting needs and to assist Justice managers and client departments in effectively planning, setting priorities, managing resources and managing the demand for legal services. For the past two years, the Department used Echo to generate historical information on level of effort and file inventory data that, together with historical information on cost recoveries, supported joint planning discussions between Justice and client organizations. In 2012-2013, information derived from Echo (and other sources) also provided key input to the development of efficiency measures that focus on managing the demand and cost of legal services and will support the Department in meeting commitments set out in the Government's 2012 Economic Action Plan. Access to Echo was extended and is now being used by financial and business analysts across the Department.
- In December 2012, the Department also commenced a phased implementation of a Legal Services Management Dashboard. The dashboard provides managers with quick and easy access to key legal case management information to support decision making right from their desktop. The various reports presented in the Dashboard help managers to: identify and assess trends; plan, monitor and report on key business activities; manage resources and continuously improve their operations by highlighting areas that may warrant further attention; engage in joint planning discussions with client organizations; and identify options for controlling legal services costs. Guidance material is available to support users in navigating through the various dashboard reports and interpreting information contained therein. In November 2012, an Advisory Committee was established to guide future enhancements to the information presented in the dashboard with a view to expanding the dashboard to include information from other domains (e.g., HR, Finance).

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MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: REPORT OF THE AUDITOR GENERAL OF CANADA 2007

- Business process models developed in 2010-2011, outlining activities related to the management and delivery of legal services are available to support managers and business analysts in identifying business requirements and opportunities for process improvements.
- Consistent and well-documented business processes, tools and standards are in place to facilitate client engagement, enhance transparency and accountability and help ensure a uniform approach to managing and reporting on the provision of legal services. In 2012-2013, Justice compiled an evergreen list of relevant business processes, tools and standards currently available to support informed decision making by client organizations about their legal services requirements and associated costs, including: guidance material, business standards and related communications developed as part of the Cost Recovery Process Improvement (CRPI) Project; the Budget Management Framework i.e., a formal document that provides context, standards and directions for budget management activities within Justice; a communications strategy and material related to announcements on the legal services rates; Treasury Board (TB) submission protocols (including the Week Ahead Report which lists all client led TB subs); and templates and guidance material related to MOUs for the provision of legal services. The list will be updated as additional processes, tools and standards are introduced in support of continuous improvement.

The Department established the Management Sector in August 2007 and assigned responsibility for implementing the changes recommended by the OAG with respect to law practice management to the ADM, Management Sector. In May 2012, with much of the work in relation to the 2007 OAG Audit completed, some of the work done in the Law Practice Management Directorate (LPMD) within the Management Sector was realigned with other units in the Department and other Divisions within the Sector. The resultant organization, while smaller, continues to provide essential services in relation to our national law practice. The Management Sector makes recommendations to senior management through the Department's governance structure and continues to work in collaboration with various working groups and advisory committees to advance key initiatives related to the management of the practice of law.

Estimated Date of Completion: Completed

CAE Assessment

The CAE supports that this recommendation be closed as fully implemented.

Coordinator Name:	Jo-Anne Brisebois	Tel#:	(613) 957-4220
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**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: 2011 JUNE STATUS REPORT OF THE AUDITOR GENERAL OF CANADA

TAB 21/Onglet 21: OAG June 2011 Status Update/BVG Mise à jour, juin 2011

Summary/Sommaire:

Tab/ Onglet	Audit Name/Nom de la vérification	Audit Date/Date de la vérification	Carry Over MAPs / PAG ouverts	MAPs Closed / PAG fermés
21	OAG June 2011 Status Update/ BVG Mise à jour, juin 2011	2011	1	1

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Coordinator Name:	Rahima Kanani	Tel#:	(613) 952-5799
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MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: 2011 JUNE STATUS REPORT OF THE AUDITOR GENERAL OF CANADA

OAG Audit Recommendation # 3.80 Report 2011-06 Chapter 3	Risk Ranking:
Internal Audit Departments that have not had an external quality assessment should have an assessment conducted as required by the International Standards for the Professional Practice of Internal Auditing and the Treasury Board Policy on Internal Audit.	

Management Response and Action Plan
Agreed. The Department of Justice is planning to conduct an external quality assessment during the 2011-12 fiscal year.

Last Update (June 2012)
Justice Canada's external quality assessment is currently in process. The results of this assessment will be presented to the Departmental Audit Committee at the first DAC meeting in the new fiscal year.
Assessment Level: Level 3 - Preparations for implementation

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input checked="" type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
Current Status as at March 31, 2013 (please provide details on progress against the management action plan): Practice Inspection completed July 2012. The Practice Inspection report was presented to DAC in July 2012.	
Estimated Date of Completion:	

DAC Assessment

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OPI:	Cheryl Driscoll	Tel#:	(613) 948-1977
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**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: 2011 JUNE STATUS REPORT OF THE AUDITOR GENERAL OF CANADA

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**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

**Audit: Expenditure Controls
Office of the Comptroller General of Canada 2009**

TAB 22/Onglet 22: OCG – Expenditure Control/BCG – Contrôle des dépenses

Summary/Sommaire:

Tab/ Onglet	Audit Name/Nom de la vérification	Audit Date/Date de la vérification	Carry Over MAPs / PAG ouverts	MAPs Closed / PAG fermés
22	OCG – Expenditure Control/ BCG – Contrôle des dépenses	2009	2	0

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OPI:	Daniel Schnob	Tel#:	613-948-5117
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MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

**Audit: Expenditure Controls
Office of the Comptroller General of Canada 2009**

OCG Audit Recommendation 2	Risk Ranking:
Expenditure Controls	
2. LDAs should ensure that there is adequate management representation in their governance process that determines or defines risk identification and policies and procedures related to risk based account verification. This representation should come from management with functional responsibility over account verification, management with awareness of pertinent risks to the operations, and those with appropriate decision making authority.	

Management Response and Action Plan
<p>A plan to engage the appropriate levels of management in analyzing risks related to account verification will be established and brought to the attention of senior management by March 2010.</p> <p>This will be followed by a consultative process with regional finance and business managers, and functional managers. The risk areas identified through this process will be formally documented by fall 2010.</p> <p>Subsequently, any necessary modifications to the policies and procedures related to the account verification of specific types of transactions will be considered, further to the results of the risk areas identified.</p> <p>As well, on a periodic basis, risk areas will be reassessed with representation from the appropriate levels of management. (September 2009)</p>

Last Update
<p>Updates for this recommendation were being tracked only by the CFO Branch prior to the March 2013 update. The following updates are on file for this audit recommendation.</p> <p>Sept 2010:</p> <p>A RFP has been prepared and a consultant will be hired to undertake this project. This will be a 3 year project and is expected to be completed during 2012-2013.</p> <p>March 2011:</p> <p>CFOB posted the RFP for this project in January. One bid was received, but unfortunately the bidder was not meeting the mandatory requirements. The RFP was posted a second time in February and the bids are closing March 2, 2011. Also, of note, COFB has sent a request for funding through the spring reserve. The plan is still to get a contractor in before April 1st to get this project started.</p> <p>March 2012:</p> <p>The High Risk Transaction Project has been in effect since May 2011 and it's well on its way. At the moment, the salary and non-salary risk framework is almost complete.</p> <p>Sept 2012:</p> <p>As per the updates provided for internal audit (e.g. ORO-Finance and Administration internal audit recommendation #12), the high risk transactions project is still on track for completion at the end of 12/13.</p>

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MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

**Audit: Expenditure Controls
Office of the Comptroller General of Canada 2009**

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input checked="" type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
Current Status as at March 31, 2013 (please provide details on progress against the management action plan):	
<p>The High Risk Transactions project has been delayed due to several major factors, such as Budget 2012 and modernization. This project is now considered to be part of the Procure to Payment (P2P) project, as the IFMS Gating Solution for high risk transactions is now an integral part of the IFMS (SAP) P2P solution / blueprint.</p> <p>In regards to P2P, Justice is now a pilot department for the TBS IFMS Program Office (IFMS Core) P2P solution / footprint for all federal government departments using SAP. The timeline for the implementation of the P2P solution is government wide and is now estimated to be by the end of fiscal year 2014-2015.</p>	
Estimated Date of Completion:	
March 31, 2015	
CAE Assessment	
The CAE supports the management self-assessment, noting the anticipated delays stemming from Budget 2012 and the interdependencies with the Procure-to-Payment project.	

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MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit: Expenditure Controls
Office of the Comptroller General of Canada 2009

OCG Audit Recommendation 6	Risk Ranking:
Expenditure Controls	
6. LDAs need to develop rigorous sampling plans to monitor the verification process of low risk payments. These should be national in scope and allow for the collection of results indicating systemic errors, best practices, and monitoring of appropriate risk identification.	

Management Response and Action Plan
<p>In 2006-07, a Quality Assurance group was set-up to monitor the effectiveness of the verification process of low and high risk payments on a national sample basis. The first objective in the plan was to satisfy two internal audit reports on travel and hospitality. Reports were provided at the regional and national levels which identified error rates along with corrective action plans.</p> <p>The next objective is to expand the verification sampling process to the remaining low risk payments. However, the Department has recognized that the introduction of a formalized and uniform sampling plan that can be applied department-wide for low risk payments will require a significant level of development effort and system modifications, particularly if the sampling is to be done effectively and efficiently. As an upgrade to the Department's IFMS (accounting system) is planned over the next 2 to 3 years, we will use this opportunity to review our verification business processes, and introduce a consistent systems-based sampling methodology and monitoring plan.</p> <p>(September 2009)</p>

Last Update
<p>Updates for this recommendation were being tracked only by the CFO Branch prior to the March 2013 update. The following updates are on file for this audit recommendation.</p> <p>Sept 2010:</p> <p>A RFP has been prepared and a consultant will be hired to undertake this project. This will be a 3 year project and is expected to be completed during 2012-2013.</p> <p>March 2011:</p> <p>CFOB posted the RFP for this project in January. One bid was received, but unfortunately the bidder was not meeting the mandatory requirements. The RFP was posted a second time in February and the bids are closing March 2, 2011. Also, of note, COFB has sent a request for funding through the spring reserve. The plan is still to get a contractor in before April 1st to get this project started.</p> <p>March 2012:</p> <p>The High Risk Transaction Project has been in effect since May 2011 and it's well on its way. At the moment, the salary and non-salary risk framework is almost complete. . A statistical sampling plan will be developed with this project</p> <p>Sept 2012:</p> <p>As per the updates provided for internal audit (e.g. ORO-Finance and Administration internal audit recommendation #12), the high risk transactions project is still on track for completion at the end of 12/13.</p>

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OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

**Audit: Expenditure Controls
Office of the Comptroller General of Canada 2009**

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input checked="" type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
Current Status as at March 31, 2013 (please provide details on progress against the management action plan):	
<p>The High Risk Transactions project has been delayed due to several major factors, such as Budget 2012 and modernization. This project is now considered to be part of the Procure to Payment (P2P) project, as the IFMS Gating Solution for high risk transactions is now an integral part of the IFMS (SAP) P2P solution / blueprint.</p> <p>In regards to P2P, Justice is now a pilot department for the TBS IFMS Program Office (IFMS Core) P2P solution / footprint for all federal government departments using SAP. The timeline for the implementation of the P2P solution is government wide and is now estimated to be by the end of fiscal year 2014-2015.</p>	
Estimated Date of Completion:	
March 31, 2015	
CAE Assessment	
The CAE supports the management self-assessment, noting the anticipated delays stemming from Budget 2012 and the interdependencies with the Procure-to-Payment project.	

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
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**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

**Audit Name: Horizontal Internal Audit of Compliance with the *Common Services Policy*
Office of the Comptroller General of Canada 2011**

TAB 23/Onglet 23: OCG Audit/Vérification BCG

Summary/Sommaire:

Tab/ Onglet	Audit Name/Nom de la vérification	Audit Date/Date de la vérification	Carry Over MAPs / PAG ouverts	MAPs Closed / PAG fermés
23	OCG/BCG	2011	1	0

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Coordinator Name:	Jo-Anne Brisebois	Tel#:	(613) 957-4220
OPI:	Chantal Quinn	Tel#:	(613) 946-4344
Also sent to:	Paul Wheatley (Action Plan II Jodi Bromley; Barbara Ritzen; Daniel Schnob /Carla Sanipelli (#2 a,c,e)		

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

**Audit Name: Horizontal Internal Audit of Compliance with the *Common Services Policy*
Office of the Comptroller General of Canada 2011**

OCG Audit Recommendation (Planned Action 1)	Risk Ranking: Medium
Evaluation of Legal Services Common Services Organizations (CSO's) should develop practices to measure cost-effectiveness and report on this information to key stakeholders.	

Management Response and Action Plan
The Department of Justice accepts this recommendation. The Department of Justice Evaluation Plan 2011-12 to 2015-16 includes coverage of the legal services to government program identified in the Program Alignment Architecture (PAA).

Last Update (March 21, 2012)
Ongoing and planned evaluations of legal services measure economy and efficiency of the delivery legal services. 1) Tax Law Services (April 2013) 2) Public Law (Expected Approval in May 2013) 3) Legislative Services (Ongoing, expected completion May 2013) 4) Aboriginal Affairs Portfolio (Project initiated; anticipated completion in March 2014) 5) Litigation (Ongoing, expected completion June 2014) 6) PSDI Portfolio (Ongoing, expected completion December 2014) 7) Business and Regulatory Law Portfolio (Ongoing, expected completion September 2015) 8) Central Agencies Portfolio (Ongoing, expected completion March 2016)

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input checked="" type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

Current Status as at March 31, 2013 (please provide details on progress against the management action plan):
The evaluation methodology has been developed and evaluations are underway in accordance with the timelines indicated below. The evaluation of legal services is now part of the ongoing evaluation plan for the Department. The Management Sector considers this recommendation addressed and ongoing. Ongoing and planned evaluations of legal services measure economy and efficiency of the delivery legal services. 1) Tax Law Services (April 2013) 2) Public Law (June 2013) 3) Legislative Services (June 2013) 4) Aboriginal Affairs Portfolio (Project initiated; anticipated completion in March 2014) 5) Litigation (Planning completed; expected completion December 2014) 6) PSDI Portfolio (Planning completed; expected completion December 2014) 7) Business and Regulatory Law Portfolio (Planning completed; expected completion September 2015) 8) Central Agencies Portfolio (Planning nearly completed; expected completion March 2016)

Coordinator Name:	Jo-Anne Brisebois	Tel#:	(613) 957-4220
OPI:	Chantal Quinn	Tel#:	(613) 946-4344
Also sent to:	Paul Wheatley (613) 954-2260		

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Horizontal Internal Audit of Compliance with the *Common Services Policy*
Office of the Comptroller General of Canada 2011

Estimated Date of Completion: First cycle of evaluations to be completed by March 2016

CAE Assessment

Management has formulated a series of measures and actions in response to the one OCG recommendation - to measure cost-effectiveness and report the information to key stakeholders. The CAE will assess the overall status of the Management Action Plan once all elements of the MAP have been fully implemented.

Coordinator Name:	Jo-Anne Brisebois	Tel#:	(613) 957-4220
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MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Horizontal Internal Audit of Compliance with the *Common Services Policy*
Office of the Comptroller General of Canada 2011

OCG Audit Recommendation	Risk Ranking: Medium
Common Services Organizations (CSO's) should develop practices to measure cost-effectiveness and report on this information to key stakeholders	

Management Response
The Department of Justice accepts this recommendation.

Planned Action
II Identification of cost effectiveness measures and processes for reporting a) Implement business processes, tools and standards to support informed decision making by client organizations about their legal services requirements and associated costs

Status as at March 31, 2013:	
<input type="checkbox"/> Level 1 (No or insignificant progress) <input type="checkbox"/> Level 2 (Planning Stage: plans created & approved) <input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation) <input checked="" type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented) <input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
<p>Consistent and well-documented business processes, tools and standards facilitate client engagement, enhance transparency and accountability and help ensure a uniform approach to managing and reporting on the provision of legal services.</p> <p>Justice has developed an evergreen list of relevant business processes, tools and standards currently available to support informed decision making by client organizations about their legal services requirements and associated costs, including: guidance material, business standards and related communications developed as part of the Cost Recovery Process Improvement (CRPI) Project; the <i>Budget Management Framework</i> i.e., a formal document that provides context, standards and directions for budget management activities within Justice; a communications strategy and material related to announcements on the legal services rates; TB submission protocols (including the Week Ahead Report which lists all client led TB subs); and templates and guidance material related to MOUs for the provision of legal services, including an updated <i>Accountability Framework for Memoranda of Understanding Related to the Provision of Legal Services</i>.</p> <p>The list will be updated as additional processes, tools and standards are introduced in support of continuous improvement, including the development of an overarching <i>Net Vote Revenue Framework</i> encompassing a policy, directives and guidelines as well as standard practices and tools that would enable better planning and monitoring of the costs of processing, reviewing and presenting documentary evidence in litigation.</p>	
Estimated Date of Completion: Completed	

CAE Assessment
Management has formulated a series of measures and actions in response to the one OCG recommendation - to measure cost-effectiveness and report the information to key stakeholders. The CAE will assess the overall status of the Management Action Plan once all elements of the MAP have been fully implemented.

Coordinator Name:	Jo-Anne Brisebois	Tel#:	(613) 957-4220
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Also sent to:	Cc: Jodi Bromley; Barbara Ritzen; Daniel Schnob /Carla Sanipelli (Recs #2 a,c,e)		

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Horizontal Internal Audit of Compliance with the *Common Services Policy*
Office of the Comptroller General of Canada 2011

Coordinator Name:	Jo-Anne Brisebois	Tel#:	(613) 957-4220
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MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

**Audit Name: Horizontal Internal Audit of Compliance with the *Common Services Policy*
Office of the Comptroller General of Canada 2011**

Planned Action	Risk Ranking: Medium
II b) Develop a list of best practices that would contribute to cost savings for consideration by Justice managers and discussion with client organizations	

Status as at March 31, 2013:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input checked="" type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
<p>Developed a list of best practices with clear linkages to cost effectiveness. In March 2013, the list was shared on the Senior Level Executive sharepoint site for the information of managers. It will serve as a guidance document for managers to inform discussions with their client departments on options for better managing the demand and costs of legal services. Many of the items set out in this list align with efficiency measures identified as part of the Process Optimization commitment under the Modernization Strategy. It is understood that the list will evolve as the Department works through the implementation of the Process Optimization measures and if new measures are identified, they will be added.</p>	
Estimated Date of Completion: Completed	

CAE Assessment
<p>Management has formulated a series of measures and actions in response to the one OCG recommendation - to measure cost-effectiveness and report the information to key stakeholders. The CAE will assess the overall status of the Management Action Plan once all elements of the MAP have been fully implemented.</p>

Coordinator Name:	Jo-Anne Brisebois	Tel#:	(613) 957-4220
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MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

**Audit Name: Horizontal Internal Audit of Compliance with the *Common Services Policy*
Office of the Comptroller General of Canada 2011**

Planned Action	Risk Ranking: Medium
II c) Formalize the practice of documenting the identification and consideration of options available to client organizations for controlling their legal services costs	

Status as at March 31, 2013:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input checked="" type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
<p>Strengthened guidance provided in the Integrated Business Planning process and the <i>Accountability Framework for MOUs Related to the Provision of Legal Services</i> regarding factors to consider and the overall approach for joint planning discussions with clients.</p> <p>Integrated revenue forecasting for individual client organizations into the Department's Integrated Business Planning process. Revenue forecasts are updated quarterly throughout the year.</p> <p>Introduced a revised template for the Planning and Forecasting Annex (entitled Annex B) of the MOU template to include the following attestation statement to be signed by both the Justice and client Contacts for the Management the MOU: <i>"The total forecast presented above reflects the results of joint planning discussions between Justice and [client organization], including consideration of options for controlling legal services costs."</i></p>	
Estimated Date of Completion: Completed	

CAE Assessment
Management has formulated a series of measures and actions in response to the one OCG recommendation - to measure cost-effectiveness and report the information to key stakeholders. The CAE will assess the overall status of the Management Action Plan once all elements of the MAP have been fully implemented.

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MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

**Audit Name: Horizontal Internal Audit of Compliance with the *Common Services Policy*
Office of the Comptroller General of Canada 2011**

Planned Action	Risk Ranking: Medium
II d) Through the Client Feedback Survey, measure and report on client satisfaction with the extent to which they have been provided with options for controlling their legal services costs	

Status as at March 31, 2013:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input checked="" type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
<p>As part of the Client Feedback Survey Review, completed consultations with heads of Portfolios and specialized legal services offices regarding the inclusion of the proposed question related to controlling the cost of legal services in January 2013.</p> <p>The proposed question was tested with client department focus groups in early March.</p> <p>A recommendation on the inclusion of the proposed question in the Client Feedback Survey will be presented to Senior Management in May/June 2013 for decision.</p>	
Estimated Date of Completion: Implementation scheduled for September 2013*	
* On track with initial estimated completion date reported to DAC in July 2012 i.e., "Implement in 2013-2014 – first year of the next 3 year survey cycle".	

CAE Assessment
Management has formulated a series of measures and actions in response to the one OCG recommendation - to measure cost-effectiveness and report the information to key stakeholders. The CAE will assess the overall status of the Management Action Plan once all elements of the MAP have been fully implemented.

Coordinator Name:	Jo-Anne Brisebois	Tel#:	(613) 957-4220
OP:	Chantal Quinn	Tel#:	(613) 946-4344
Also sent to:	Cc: Jodi Bromley; Barbara Ritzen; Daniel Schnob /Carla Sanipelli (#2 a,c,e)		

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

**Audit Name: Horizontal Internal Audit of Compliance with the *Common Services Policy*
Office of the Comptroller General of Canada 2011**

Planned Action	Risk Ranking: Medium
II e) Identify measures of cost effectiveness that would be reported on in the Departmental Performance Report (DPR)	

Status as at March 31, 2013:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input checked="" type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
<p>Efficiency measures for reporting on the provision of legal services in the DPR are being developed and will draw on measures identified through the Department's Process Optimization Initiative and other initiatives, where appropriate.</p> <p>Efficiency indicators will be identified in the Department's Performance Measurement Framework (PMF) that will be submitted to TBS in October 2013, as part of the Management Resources and Results Structures (MRRS) update for 2014-2015.</p> <p>Efficiency indicators will be implemented and tested internally in 2013-2014, and revised if necessary. The Department will begin reporting on efficiency indicators to Parliament and the public in the 2015-2016 DPR.</p>	
Estimated Date of Completion: September 2013*	
<p><i>* The timelines have been updated to reflect an October 1st, 2013 deadline and guidance established by TBS for the development of efficiency indicators as part of the annual MRRS Amendment Process. Accordingly, the timelines for submitting efficiency indicators to TBS have been revised to October 1, 2013, as opposed to the August 2013 deadline reported to DAC in July. Also, the timelines for beginning to report on efficiency indicators in the DPR have been extended by one fiscal year in response to updated guidance from TBS i.e., mandatory reporting on efficiency indicators will commence with the 2015-2016 DPR, as opposed to TBS' previous deadline of the 2014-2015 DPR which had been conveyed to DAC in July.</i></p>	

CAE Assessment
<p>Management has formulated a series of measures and actions in response to the one OCG recommendation - to measure cost-effectiveness and report the information to key stakeholders. The CAE will assess the overall status of the Management Action Plan once all elements of the MAP have been fully implemented.</p>

Coordinator Name:	Jo-Anne Brisebois	Tel#:	(613) 957-4220
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Also sent to:	Cc: Jodi Bromley; Barbara Ritzen; Daniel Schnob /Carla Sanipelli (#2 a,c,e)		

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

**Audit Name: PUBLIC SERVICE COMMISSION STAFFING AUDIT OF JUSTICE
CANADA 2012**

TAB 24/Onglet 24: PSC Audit/Vérification CFP

Summary/Sommaire:

Tab/ Onglet	Audit Name/Nom de la vérification	Audit Date/Date de la vérification	Carry Over MAPs / PAG ouverts	MAPs Closed / PAG fermés
24	PSC/ CFP	2012	2	0

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Coordinator Name:	Jo-Anne Brisebois	Tel#:	(613) 957-4220
OPI:	Mary Lynn Courtney /Martin Belliveau	Tel#:	(613) 941-1902
Also sent to:	Cc: Joann Pratt		

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

**Audit Name: PUBLIC SERVICE COMMISSION STAFFING AUDIT OF JUSTICE
CANADA 2012**

PSC Audit Recommendations	Risk Ranking:
<p>1. The deputy head of Justice Canada should establish and implement a control mechanism on the management and monitoring of sub-delegated authority to ensure that letters of offer are signed by managers to whom the authority had been sub-delegated.</p> <p>2. The deputy head of Justice Canada should ensure that Justice Canada fully implements its staffing monitoring framework. This includes ensuring that appointment processes and related decisions are fully documented and compliant with legislative, regulatory and policy requirements. Monitored results should be reported to senior management for necessary actions, as needed.</p>	

Management Response and Action Plan
<i>See Attached.</i>

Last Update (June 2012)
Not applicable.

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input checked="" type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

<p>Current Status as at March 31, 2013 (please provide details on progress against the management action plan):</p> <p>All actions identified in the departmental Action Plan to address audit findings were completed with the exception of the full implementation of the Staffing Monitoring Framework (SMF). To fully implement the SMF, the remaining element to complete pertains to the completion of an internal appointment review exercise by Human Resources and Professional Development Directorate (HRPDD)</p> <p>The review exercise concluded at the end of February, 2013. The final report regarding the findings of the review was submitted to the attention of the D.G, HRPDD and it is intended that the monitored results will be reported to senior management by end of May, 2013. Subsequently, the Public Service Commission will be notified of its completion for DSAR assessment purposes and provided with a copy of the results stemming from the review exercise and a copy of the communication material that was provided to senior management regarding the findings.</p>
Estimated Date of Completion: May 31, 2013

CAE Assessment
The CAE supports management's self-assessment at level 4.

Coordinator Name:	Jo-Anne Brisebois	Tel#:	(613) 957-4220
OPT:	Mary Lynn Courtney /Martin Belliveau	Tel#:	(613) 941-1902
Also sent to:	Cc: Joan Pratt		

S E R V I N G C A N A D I A N S

Management Action Plan (MAP) Follow-Up Exercise Spring 2013

Exercice de suivi des plans d'action de la gestion (PAG) Printemps 2013

Audit Management Response and Evaluation Committee /
Comité d'évaluation et de réponse de la direction à la vérification

June 25, 2013 / 25 juin 2013



Department of Justice
Canada

Ministère de la Justice
Canada

Canada

Management Action Plan (MAP) Follow-Up /
Suivi des plans d'action de la gestion (PAG)
Spring 2013 / Printemps 2013

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1	<u>Integrated Financial and Material Systems (IFMS)/ Système intégré des finances et matériel (SIFM)</u>	Feb/Fév 2007	1	0
2	<u>Material Management/Gestion du matériel</u>	June/Juin 2007	1	0
3	<u>Family Law Assistance Services (FOAEA & CRDP)/Services d'aide du droit familial (AEOEF ET BEAD)</u>	Nov 2007	6	6
4	<u>Ontario Regional Office (Finance and Administration Directorate)/ Bureau régional de l'Ontario (Finances et Administration)</u>	Aug/Août 2008	2	0
5	<u>Programs Branch Audit/Vérification de la direction générale des programmes</u>	Sep 2008	1	1
6	<u>Salary Management System/ Système de gestion des salaires</u>	July/Juillet 2009	2	1
7	<u>Immigration Law – Regional Offices/ Droit de l'immigration, Bureaux régionaux</u>	Nov 2009	1	1
8	<u>Budgetary Allocation and Forecasting/ Affectations et prévisions budgétaires</u>	July/Juillet 2010	1	0
9	<u>Cost Recovery Framework/ Cadre de recouvrement des coûts</u>	July/Juillet 2010	2	0
10	<u>PeopleSoft HR Management System/ Système de gestion des ressources humaines PeopleSoft</u>	Mar 2011	5	1
11	<u>LEGAL AGENT ACCOUNT VERIFICATION PROCESS (LA AV)/ Processus de vérification des comptes des mandataires</u>	Apr/Avril 2011	2	0
12	<u>Staffing/Resourcing Function/ Fonction de dotation- ressourcement</u>	June/Juin 2011	1	0
13	<u>Canada Border Services Agency Legal Services Unit/ SJM de l'Agence des services frontaliers du Canada</u>	Aug/Août 2011	2	1
14	<u>Regional Contracting/ Marchés de services régionaux</u>	Aug/Août 2011	8	1
15	<u>Tax Law Services Ottawa Section/ Services du droit fiscal section d'Ottawa</u>	July/Juillet 2011	1	0
16	<u>Tax Law Services Prairie Region/ Services du droit fiscal région des Prairies</u>	July/Juillet 2011	1	1
17	<u>Acquisition Cards/ Cartes d'achat</u>	Mar 2012	1	0
18	<u>Official Languages/ Vérification des langues officielles</u>	Mar 2012	3	2
19	<u>Legislative Services/ Vérification des services législatifs</u>	Oct 2012	1	0
	Total		42	15

Tab/ Onglet	External Audits/Vérifications externes	Audit Date/Date de la vérification	Carry Over MAPs /PAG ouverts	MAPs Closed /PAG fermés
20	OAG/BVG	2007	3	2
21	OAG June 2011 Status Update/BVG Mise à jour, juin 2011	2011	1	1
22	OCG – Expenditure Control/BCG – Contrôle des dépenses	2009	2	0
23	OCG/BCG	2011	1	0
24	PSC/CFP	2012	2	0
	Total		9	3

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Integrated Financial and Materiel System (IFMS) 2007

TAB 1/Onglet 1: Integrated Financial and Material Systems (IFMS)/ Système intégré des finances et matériel (SIFM)

Summary/Sommaire:

Tab/ Onglet	Audit Name/Nom de la vérification	Audit Date/Date de la vérification	Carry Over MAPs /PAG ouverts	MAPs Closed /PAG fermés
1	Integrated Financial and Material Systems (IFMS)/ Système intégré des finances et matériel (SIFM)	Feb/Fév 2007	1	0

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Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Integrated Financial and Materiel System (IFMS) 2007

Recommendation # 4 (IA Ref# 2007-207-4)	Risk Ranking: Low
Functional/Technical Support	
It is recommended that the Director General, Finance ensure that the IFMS help desk maintains statistics on the number and types of phone calls received from users.	

Management Response and Action Plan
Agree. Effective immediately, telephone calls received from IFMS users will be documented and tracked in the same manner as e-mail requests for assistance.

Last Update (September 2012)
Further to the March 2012 update, the "Procure-to-Payment at Justice Project" was officially launched in November 2012. Solution Manager will be implemented during the initial phase of the project, including the CHARM and Service Desk tools. CHARM is an integrated SAP change management tool. Service Desk is an integrated SAP tool which tracks Help Desk tickets and support provided to IFMS users. Implementation is slated for March 2013.
LEVEL 3 // Estimated Date of Completion: March 2013

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input checked="" type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

Current Status as at March 31, 2013 (please provide details on progress against the management action plan):
The timeline for delivery and implementation of Solution Manager has been revised and is now planned for fiscal year 2013-2014. The CFO Branch does not have the in-house resources required to implement Solution Manager. Due to difficulties and delays in obtaining staffing approvals, the decision was made to use contract support. This has delayed the implementation timelines. Solution Manager will include Service Desk, which is an integrated SAP tool which tracks help desk tickets and support provided to IFMS users.

Estimated Date of Completion:
March 31, 2014

CAE Assessment
Although this audit dates back to 2007, the CAE supports the extension of the deadline for implementation to March 2014 in light of the system-wide staffing delays stemming from Budget 2012.

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OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Materiel Management 2007

TAB 2/Onglet 2: Material Management/Gestion du matériel

Summary/Sommaire:

Tab/ Onglet	Audit Name/Nom de la vérification	Audit Date/Date de la vérification	Carry Over MAPs /PAG ouverts	MAPs Closed /PAG fermés
2	Material Management/Gestion du matériel	Jun/Juin 2007	1	0

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Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
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MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Materiel Management 2007

Recommendation # 1 (IA Ref# 2007-263-1)	Risk Ranking: Medium
It is recommended that the Director General, Administration ensures that a materiel management policy as well as procedures and guidelines specific to the Department of Justice are developed, implemented, and promulgated.	

Management Response and Action Plan
Agree. Policies, procedures and guidelines will be developed, implemented and promulgated. Actions to be undertaken: <ul style="list-style-type: none"> Extraction and verification of current policies, procedures and guidelines that are currently in place for the Department of Justice. Extraction and verification of Treasury Board policies and guidelines (currently under revision at TBS). Writing and editing of the department's materiel management policies, procedures and guidelines. Consultations with stakeholders, consolidation of comments, distribution and publication on the Intranet of the policies, procedures and guidelines.

Last Update (September 2012)
Further to the March 2012 update, consultation on the draft policy instruments will start in December 2012, with approval targeted for May 2013. The Materiel Management function now reports to the Chief Financial Officer Branch. LEVEL 3 // Estimated Date of Completion: May 2013 Update from March 2012: A draft materiel management policy had been prepared by a Consultant following the audit in 2007; however it was never adopted, implemented or promulgated at that time. This draft policy is being reviewed and updated and will be sent for consultation. The draft policy will be presented for consultation at the Advisory Committee on Contracting, Accommodation and Materiel Management (AC-CAMM) during the summer of 2012. The target date to have policy approved is December 2012. (60% complete)

Commented [DT1]: Added by CFOB to provide context to the September 2012 and March 2013 updates.

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input checked="" type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

Current Status as at March 31, 2013 (please provide details on progress against the management action plan):
Further to the September 2012 update, the timelines have been extended. Due to difficulties and delays in obtaining staffing approvals, the decision was made to use contract support. This has delayed the implementation timelines. The policy suite will be sent for consultation in the summer 2013 and should be approved by the end of October 2013.
Estimated Date of Completion:
October 31, 2013

CAE Assessment
Although this audit dates back to 2007, the CAE supports the extension of the deadline to October 2013 in light of the

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**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Materiel Management 2007

organizational changes stemming from Budget 2012.

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**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

**Audit Name: Family Law Assistance Services (Family Orders and Agreements
Enforcement Assistance & Central Registry of Divorce Proceedings) 2007**

**TAB 3/Onglet 3: Family Law Assistance Services (FOAEA & CRDP)/Services d'aide du
droit familial (AEOEF ET BEAD)**

Summary/Sommaire:

Tab/ Onglet	Audit Name/Nom de la vérification	Audit Date/Date de la vérification	Carry Over MAPs /PAG ouverts	MAPs Closed /PAG fermés
3	Family Law Assistance Services (FOAEA & CRDP)/Services d'aide du droit familial (AEOEF ET BEAD)	Nov 2007	6	6

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Coordinator Name:	Don Piragoff	Tel#:	(613) 957-4730
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Also sent to:	Daniel Schnob 613-948-5117, Carla Sanipelli 613-941-7343; cc : Elissa Lieff 957-1200		

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

**Audit Name: Family Law Assistance Services (Family Orders and Agreements
Enforcement Assistance & Central Registry of Divorce Proceedings) 2007**

Recommendation # 8a (IA Ref# 2007-120-8-a)	Risk Ranking: Medium
FLAS Management Framework Procedures, Documentation, & Training	
It is recommended that the Director, FLAS ensure that:	
a) Written procedures for the Financial Officer are revised to more clearly describe FOAEA procedures and to include CRDP financial procedures.	

Management Response and Action Plan
Agree. With the hiring of the financial officer, all financial procedures are 90 % complete and should be completed by May 31, 2008. The CRDP financial functions will be transferred to the financial officer who will be responsible to develop appropriate procedures. The transfer of responsibilities and written procedures should be complete by July 2008.

Last Update (September 2012)
A consultant has been hired and has commenced the work to write the financial procedures for FOAEA. The work will be completed by the end of December, 2012.
For CRDP, the draft financial procedures have been written. They will be finalized by the end of November 2012.
LEVEL 4 // Estimated Date of Completion: Recommendation will be completed by end of December 2012

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress) <input type="checkbox"/> Level 2 (Planning Stage: plans created & approved) <input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation) <input checked="" type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented) <input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
Current Status as at March 31, 2013 (please provide details on progress against the management action plan):	
All financial procedures have now been documented.	
Estimated Date of Completion:	
Completed	

CAE Assessment
The CAE, after consultations with the CFOB, supports that this recommendation be closed as fully implemented.

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**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

**Audit Name: Family Law Assistance Services (Family Orders and Agreements
Enforcement Assistance & Central Registry of Divorce Proceedings) 2007**

Recommendation # 16b (IA Ref# 2007-139-16-a)	Risk Ranking: Medium
Findings – Family Orders and Agreements Enforcement Assistance FOAEA Systems Management	
It is recommended that the Director, FLAS ensure that: b) IT Team procedures with regard to FOAEA system operations are documented.	

Management Response and Action Plan
Agree. Procedures are currently under review and will be complete by July 2008.

Last Update (September 2012)
A technical writer has been hired by the Information Management Branch, funded by the Policy Sector, to complete the work. The work will be completed by the end of this fiscal year. LEVEL 4 // Estimated Date of Completion: March 31, 2013

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input checked="" type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

Current Status as at March 31, 2013 (please provide details on progress against the management action plan):
The FOAEA system operations' documentation was completed on March 31, 2013.
Estimated Date of Completion:
Completed

CAE Assessment
Internal Audit Branch received and reviewed the procedures manual and supports that this recommendation be closed as fully implemented.

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**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

**Audit Name: Family Law Assistance Services (Family Orders and Agreements
Enforcement Assistance & Central Registry of Divorce Proceedings) 2007**

Recommendation # 22 (IA Ref# 2007-149-22)	Risk Ranking: Medium
Findings – Central Registry of Divorce Proceedings Interaction between the CRDP Unit and Finance	
It is recommended that the Director, FLAS ensure that:	
<ul style="list-style-type: none"> a) The IFMS and CRDP system data is reconciled on a quarterly basis. b) Variances are explained. c) Adequate records are maintained of the reconciliation actions taken. 	

Management Response and Action Plan
Agree. The responsibility for the CRDP financial control system will be transferred to the financial officer who will ensure that recommended controls are put in place. This transfer of functions should be complete by July 2008 and all controls in place by September 2008.

Last Update (September 2012)
FLAS provides the CFOB with the required information on a quarterly basis and provides explanations for any variances. The CFOB works on the quarterly reconciliation.
LEVEL 4 // Estimated Date of Completion: _____

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input checked="" type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
Current Status as at March 31, 2013 (please provide details on progress against the management action plan):	
FLAS will provide the CFOB with the required information on a quarterly basis starting fiscal year 2013-2014 and provide explanations for any variances. CFOB will provide quarterly reconciliation.	
Estimated Date of Completion:	
Completed	

CAE Assessment
The CAE supports that this recommendation be closed with the caveat that the Preliminary Survey of Family Law Assistance Services (FLAS) 2014-15 will confirm that the reconciliation process is meeting the required standards.

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**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

**Audit Name: Family Law Assistance Services (Family Orders and Agreements
Enforcement Assistance & Central Registry of Divorce Proceedings) 2007**

Recommendation # 23d (IA Ref# 2007-153-23-d)	Risk Ranking: Medium
Findings – Central Registry of Divorce Proceedings	
CRDP System Management	
It is recommended that the Director, FLAS ensure that:	
d) System requirements are reviewed to meet appropriate financial controls.	

Management Response and Action Plan
Agree. This matter will be reviewed by the financial officer once the responsibility is transferred. Work should be completed by September 2008.

Last Update (September 2012)
CRDP Financial procedures have been drafted. To be finalized by the end of November. Audit trails in place record changes in fee. Invoices, payments and compensation now recorded in the system. Analysis of other system requirements for financial process ongoing, to be completed in 2013-14.
LEVEL 4 // Estimated Date of Completion: 2013-14

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input checked="" type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

Current Status as at March 31, 2013 (please provide details on progress against the management action plan):
Audit trails implemented in 2012-13 allow capture of any financial input/changes in the CRDP system. Invoicing and compensation records are kept in the system. The Director has ensured that the current system, audit capacity and procedures allow us to meet appropriate financial controls.
After review, at this time, no further technical changes to the financial component of the CRDP system are warranted at this time.
Estimated Date of Completion:
Completed

CAE Assessment
The CAE supports that this recommendation be closed with the caveat that the Preliminary Survey of Family Law Assistance Services (FLAS) 2014-15 will confirm that system requirements meet appropriate financial controls.

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MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

**Audit Name: Family Law Assistance Services (Family Orders and Agreements
Enforcement Assistance & Central Registry of Divorce Proceedings) 2007**

Recommendation # 26a (IA Ref# 2007-161-26-a)	Risk Ranking: Medium
Findings – Findings – Central Registry of Divorce Proceedings	
MOUs	
It is recommended that the Director, FLAS ensure that:	
a) Discussions are undertaken with the provinces to encourage quarterly invoicing and, in the case of Saskatchewan, compliance with the MOU.	

Management Response and Action Plan	Risk Ranking:
Agree. Communication with the provinces will commence in July 2008, and it is anticipated that an agreement with all the provinces will be reached by September 2008.	

Last Update (September 2012)
Discussions have commenced with the PTs to encourage quarterly invoicing and compliance with the MOU in the case of Saskatchewan. Awaiting responses from PTs. See also response to 26(b).
LEVEL 4 // Estimated Date of Completion: March 31, 2013

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input checked="" type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
Current Status as at March 31, 2013 (please provide details on progress against the management action plan):	
Discussions have been held with the provinces not currently under the quarterly invoicing regime (Quebec, NB, Yukon, NWT and Nunavut). At this point, none of their financial systems can accommodate such change of process.	
As of April 1, 2013, fees owed by Saskatchewan are charged on a quarterly basis in accordance with the MOU (full \$10.00 fee).	
Estimated Date of Completion:	
Completed	

CAE Assessment
The CAE supports closing this recommendation. The Preliminary Survey of Family Law Assistance Services (FLAS) 2014-15, will confirm that Saskatchewan is in compliance with the memorandum of understanding.

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**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

**Audit Name: Family Law Assistance Services (Family Orders and Agreements
Enforcement Assistance & Central Registry of Divorce Proceedings) 2007**

Recommendation # 26b (IA Ref# 2007-162-26-b)	Risk Ranking: Medium
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**Findings – Findings – Central Registry of Divorce Proceedings
MOUs**

It is recommended that the Director, FLAS ensure that:
b) MOUs are updated covering financial responsibilities and process requirements for CRDP fees and compensation.

Management Response and Action Plan

Agree. This information will be communicated to the FPT working group currently working on the MOU.

Last Update (September 2012)

FPT MOA working group created, to start discussions for revised MOAs at the end of November. Completion date dependent on collaboration of PTs.

LEVEL 4 // Estimated Date of Completion: Dependent on collaboration and approval process within PTs. Negotiation process commenced. Estimated completion date 2014.

Update:

<input type="checkbox"/> Level 1 (No or Insignificant progress) <input type="checkbox"/> Level 2 (Planning Stage: plans created & approved) <input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation) <input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented) <input checked="" type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
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Current Status as at March 31, 2013 (please provide details on progress against the management action plan):

There are two components to this recommendation. One component concerns the commitment by management to work with Provincial and Territorial officials to update the MOU, while the second component involves the processes of federal/provincial/territorial Ministers' approval and sign-off.

The management response is directed to the first component. In this regard, the negotiation process with the Provinces and Territories to update the MOAs to explicitly address financial responsibilities and process requirements for CRDP fees and compensation is well advanced with a clause by clause review of a draft agreement. As of March 31, 2013, the members of the FPT Working Group responsible for the drafting of this MOA, except for one jurisdiction, were in full support and all PT members of the CCSO-Family Justice were kept informed. As part of the negotiations, consideration is being given to a proposal to streamline the invoicing and compensation process in consultation with CFOB. One jurisdiction, however, is unable to commit to the proposed compensation rate (remaining at status quo) without further provincial consultations. It is anticipated that within less than a year a draft agreement will be completed by the Working group. The MOA will then need to be presented in each PT to higher officials' level to make recommendations to and seek approval of the respective P/T Ministers.

With regard to the second component of the recommendation of obtaining Ministerial approval in each jurisdiction, the process is completely outside the departmental management's sphere of control as it may involve political

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**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

**Audit Name: Family Law Assistance Services (Family Orders and Agreements
Enforcement Assistance & Central Registry of Divorce Proceedings) 2007**

<p>considerations.</p> <p>In the interim, financial responsibilities are covered and respected under the current MOA and the discussions undertaken as referred to in response to recommendation 26(a) to improve the payment and compensation process. Follow-up is done regularly to ensure prompt payment of invoices and compensation is issued on a quarterly basis after payment.</p>
Estimated Date of Completion:
N/A

CAE Assessment
<p>The CAE supports the closure of this recommendation in light of the high level of engagement between federal and provincial / territorial officials in developing revised memoranda of understanding. Additionally, the Preliminary Survey of Family Law Assistance Services (FLAS) 2014-15, will examine the updated processes and procedures to determine whether there are any further issues and / or risks that may require management attention.</p>

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**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Ontario Regional Office (Finance and Administration Directorate) 2008

**TAB 4/Onglet 4: Ontario Regional Office (Finance and Administration Directorate)/
Bureau régional de l'Ontario (Finances et Administration)**

Summary/Sommaire:

Tab/ Onglet	Audit Name/Nom de la vérification	Audit Date/Date de la vérification	Carry Over MAPs /PAG ouverts	MAPs Closed /PAG fermés
4	Ontario Regional Office (Finance and Administration Directorate)/ Bureau régional de l'Ontario (Finances et Administration)	Aug/Août 2008	2	0

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Coordinator Name:	Carta Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:	cc Lorna Kettles for recommendation #29		

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Ontario Regional Office (Finance and Administration Directorate) 2008

Recommendation # 7 (IA Ref# 2008-109-7)	Risk Ranking: Low
Functional Guidance & Direction	
It is recommended that, in conjunction with the regional offices, the Director General, Finance develop a coherent and measurable set of performance objectives for the finance function capable of providing comparisons between regional offices.	

Management Response and Action Plan
Agree. This will be a collaborative effort involving all regional offices to ensure that, from a strategic perspective, the performance objectives are agreed upon and measured for the finance function. These will form part of a recognized performance measurement framework that will be enhanced on a continuous and collective basis. As part of this effort, the DG, Finance office is currently working on developing a balance scorecard with financial and non-financial indicators, which is expected to be in place by the end of calendar year 2008.

Last Update (September 2012)
The delivery of Financial, Contracting and Materiel Management (internal) services across the Department of Justice was consolidated within the CFO Branch (CFOB) on August 1 st , 2012. This consolidation and related modernization of internal services will enable the CFOB to move forward with delivering a consistent level of service across the Department. The CFOB is identifying best practices across the regional offices and across other government departments with the intent of implementing such practices within Justice. A key component of modernizing the CFOB function within the Department is implementing a new service delivery model for processing transactional payments. (This initiative is currently underway.) Additionally, work is being done to complete the CFOB balanced scorecard. Preliminary objectives, measures, targets and initiatives are currently being fine tuned to ensure alignment with the CFOB vision and strategy and with the financial, customer, internal business process, and learning and growth perspectives.
LEVEL 2 // Estimated Date of Completion: September 30, 2013

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input checked="" type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

Current Status as at March 31, 2013 (please provide details on progress against the management action plan):
Further to the consolidation of Financial, Contracting and Materiel Management services across the Department of Justice within the CFOB in August of 2012, significant progress in implementing the related CFOB modernization plan has been achieved. The CFOB has implemented a new service delivery model for processing transactional payments and has finalized an organizational footprint for each of the five regional offices to ensure capacity exists to provide a consistent level of service. Weekly Regional Director of Finance teleconferences facilitate an understanding of each regional office's current practices and client service levels. This understanding enables the CFOB to identify and implement best practices and establish consistent business processes and levels of client service.
In addition, the CFOB conducted a department-wide survey targeted at CFOB customers to gain an understanding of its customer's perception of the current Accounts Payable function and to establish a baseline to further build upon. This information is critical to the success of the new service delivery model.

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**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Ontario Regional Office (Finance and Administration Directorate) 2008

The work noted above is foundational to one of the key projects identified in the 2013/14 CFOB Operational Plan: the "Development of a Performance Measurement Framework and Strategy". Key milestones of this project include reviewing and assessing best practices for performance measurement for analogous organizations and communicating with and documenting CFOB staff and customer service standard expectations by September 30th, 2013. The development of service standards for all CFOB functions (includes the Regional CFOB offices as well as the NCR CFOB office) and the development of a "dashboard" to be used as a communication tool for monitoring and reporting on key commitments and initiatives, are targeted for completion by March 31st, 2014. The identification of performance indicators to measure results and provide meaningful feedback and the implementation of a CFOB balanced scorecard are targeted for completion in early 2014/15. The implementation has been delayed due to difficulties and delays in obtaining staffing approvals.

Estimated Date of Completion:

May 31, 2014

CAE Assessment

The CAE supports the extension of deadlines to September 2014 in light of the significant organizational changes stemming from the implementation of Budget 2012.

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MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Ontario Regional Office (Finance and Administration Directorate) 2008

Recommendation # 12 (IA Ref# 2008-114-12)	Risk Ranking: Low
Operational Performance Indicators	
It is recommended that the Director General, Finance consider activating SAP features, such as gating, threshold warnings, and volumetric triggers.	

Management Response and Action Plan
Agree that performance reporting capabilities can be made available by activating SAP features. A working group for IFMS will be reactivated in the fall 2008 to gather requirements and prioritize functional enhancements to IFMS. Concurrently, the IFMS unit will investigate activating some of the SAP features available as additional reporting tools from which performance statistics can be derived. With respect to gating in SAP, this feature was reviewed by the newly created HQ statistical sampling unit in 2006-07. At present, expenditures continue to be verified 100% prepayment, with statistical sampling also being performed on a post-payment basis on travel and hospitality expenditures. Once the error rate is reduced to an acceptable level for travel and hospitality expenditures, a gating process will be introduced. Other types of expenditures are also being planned for consideration in the statistical sampling process, which, in effect, would require the implementation of gating for these expenditures.

Last Update (September 2012)
Further to the March 2012 update, the Department will be implementing the IFMS Core Solution for statistical sampling for non-salary expenditures. The CFO Branch is exploring software options for statistical sampling for salary transactions. The CFO Branch is also investigating the implementation of the Gating Solution as a prerequisite for statistical sampling.
LEVEL 3 // Estimated Date of Completion: March 31, 2013

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress) <input type="checkbox"/> Level 2 (Planning Stage: plans created & approved) <input checked="" type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation) <input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented) <input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
Current Status as at March 31, 2013 (please provide details on progress against the management action plan):	
As indicated in the September 2012 update, the Department will be implementing the PWGSC IFMS Program Office (IFMS Core) solution for statistical sampling. This implementation will now be included as part of the "Procure to Payment at Justice" project.	
Estimated Date of Completion:	
September 30, 2014	

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:	cc Lorna Kettles for recommendation #29		

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Ontario Regional Office (Finance and Administration Directorate) 2008

CAE Assessment
The CAE supports the extension of deadlines to September 2014 in light of the interdependencies with the centrally driven IFMS Core Solutions project.

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
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Also sent to:	cc Lorna Kettles for recommendation #29		

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Programs Branch 2008

TAB 5/Onglet 5: Programs Branch Audit/Vérification de la direction générale des programmes

Summary/Sommaire:

Tab/ Onglet	Audit Name/Nom de la vérification	Audit Date/Date de la vérification	Carry Over MAPs / PAG ouverts	MAPs Closed / PAG fermés
5	Programs Branch Audit/ Vérification de la direction générale des programmes	Sep 2008	1	1

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Coordinator Name:		Tel#:	
OPI:	Barbara Merriam	Tel#:	613-957-4344
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Programs Branch 2008

Recommendation # 13 (IA Ref# 2008-147-13)	Risk Ranking: Low
Interest on Overdue Accounts	
It is recommended that the DG, Programs Branch ensure that interest on overdue accounts is charged as required.	

Management Response and Action Plan
Agree. Many of the overdue accounts in question are either for very small amounts or have been assessed as likely to be unrecoverable. In view of the nature of these overdue accounts, Programs Branch, in consultation with the DG, Finance, will review carefully the Interest and Administrative Charges Regulations pursuant to the Financial Administration Act to ensure that interest is charged in all cases where the exceptions provided (small amounts, etc.) do not apply.

Last Update (September 2012)
Subsequent to last update on March 2012, a draft briefing note to the DM to waive interest charges was prepared earlier this fiscal year and circulated for comments. Still pending at the moment.
LEVEL 4 // Estimated Date of Completion: By the end of fiscal year 2012-13.

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input checked="" type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

Current Status as at March 31, 2013 (please provide details on progress against the management action plan):
Interest will be charged with the exception of small amounts or accounts being assessed as likely to be unrecoverable. Subsequent to the update of March 2012, a draft briefing note to the Deputy Minister (DM) to obtain blanket approval to waive interest charges for the above-mentioned exceptions was prepared early in the fiscal year (2012-13) and circulated for comments. As recommended by the Debt-Write Off Committee, further changes were required to the briefing note. The briefing note is still pending at the moment. If approval for blanket authority is not obtained from the DM, the approval for waiving interest on specific accounts will continue to be carried out upon submission of the uncollectible or deemed uncollectible accounts to the Debt-Write Off Committee prior to recommending for approval to the CFO/DM.
Estimated Date of Completion:
NA - Completed

CAE Assessment
After consultations with CFOB, the CAE supports closing this recommendation.

Coordinator Name:		Tel#:	
OPI:	Barbara Merriam	Tel#:	613-957-4344
Also sent to:			

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Salary Management System 2009

TAB 6/Onglet 6: Salary Management System/Système de gestion des salaires

Summary/Sommaire:

Tab/ Onglet	Audit Name/Nom de la vérification	Audit Date/Date de la vérification	Carry Over MAPs / PAG ouverts	MAPs Closed / PAG fermés
6	Salary Management System/Système de gestion des salaires	July/Juillet 2009	2	1

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Coordinator Name:	cc Carla Sanipelli	Tel#:	613-941-7343
OP:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Salary Management System 2009

Recommendation # 1ab (IA Ref# 2009-43-1)	Risk Ranking: Low
Responsibilities & Organization It is recommended that the Chief Financial Officer ensure that: <ul style="list-style-type: none"> a) responsibilities for managing and supporting the SMS and ensuring that the system is used appropriately are defined and documented; b) the Finance Branch increase its monitoring of SMS use by users and of the accuracy of SMS data. 	

Management Response and Action Plan
Agree. The Chief Financial Officer Branch (CFOB), through the SFT project, will better define its leadership role and ensure that roles and responsibilities are well defined and documented for the Finance divisions, business units, and administrators. Monitoring and ongoing support functions associated with the maintenance and quality of data being captured will also be defined and developed. These will be reviewed and addressed as part of the SFT project, which is scheduled for implementation on July 1, 2010.

Last Update (September 2012)
September 2012 Update: Further to the March 2012 update for part (a) of the recommendation, the roles and responsibilities in managing and supporting the Salary Forecasting Tool have been established, however they have yet to be formally approved. The approval will be completed by the end of the fiscal year. LEVEL 4 // Estimated Date of Completion: March 31, 2013 March 2012 Update: Current status as of March 31st, 2012 (a) Ongoing. (95% complete) (b) Completed, as per April 2011 Follow-Up Update Description: (a) Defining roles and responsibilities in managing and supporting the Salary Forecasting Tool (SFT) needs to be determined and finalized. The Resource Management Division and Financial Systems section within the CFO Branch will action this last requirement for this recommendation by the end of June 2012.

Commented [DT2]:

We added the March 2012 update here for context and continuity. Part (b) of the recommendation was completed as of April 2011. The update provided below for March 2013 is for part (a) only.

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input checked="" type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
Current Status as at March 31, 2013 (please provide details on progress against the management action plan): Further to the September 2012 update for part (a) of the recommendation, the roles and responsibilities in managing and supporting the Salary Forecasting Tool have been formally approved.	

Coordinator Name:	cc Carla Sanipelli	Tel#:	613-941-7343
OPF:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Salary Management System 2009

LEVEL 5 // Date of Completion: March 31, 2013
Estimated Date of Completion:
N/A (Completed)
CAE Assessment
The CAE supports closing this recommendation as both parts (a) and (b) have been fully implemented.

Coordinator Name:	cc Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Salary Management System 2009

Recommendation # 16 (IA Ref# 2009-58-16)	Risk Ranking: Medium
Information Technology Security	
It is recommended that the Chief Financial Officer request that the CIO prepare a new TRA and C&A.	

Management Response and Action Plan
Agree. A new TRA and C&A will be prepared as part of the implementation of SFT on July 1, 2010.

Last Update (September 2012)
Further to the March 2012 update, the CFO Branch is awaiting confirmation from the Information Management Branch regarding whether Certification and Accreditation needs to be completed.
LEVEL 4 // Estimated Date of Completion: March 31, 2013

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input checked="" type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

Current Status as at March 31, 2013 (please provide details on progress against the management action plan):
Clarification was received in February 2013 from IMB and the Internal Audit Branch that Certification and Accreditation (C&A) is always required after the TRA is completed. The CFO Branch will follow-up with Information Solutions Branch (former Information Management Branch) by May 31, 2013 regarding what is required and the time line for completing the Certification and Accreditation. The implementation has been delayed due to difficulties and delays in obtaining staffing approvals.

Estimated Date of Completion:
To Be Determined – the date for the completion of the C&A is to be determined based on the CFOB follow-up with ISB (Information Solutions Branch).

CAE Assessment
Although this audit dates back to 2009, the CAE supports the extension of the deadlines in light of system-wide staffing delays following from budget 2012.

Coordinator Name:	cc Carla Sanipelli	Tel#:	613-941-7343
OP:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Immigration Law Regional Offices 2009

TAB 7/Onglet 7: Immigration Law – Regional Offices/Droit de l'immigration, Bureaux régionaux

Summary/Sommaire:

Tab/ Onglet	Audit Name/Nom de la vérification	Audit Date/Date de la vérification	Carry Over MAPs / PAG ouverts	MAPs Closed / PAG fermés
7	Immigration Law – Regional Offices/ Droit de l'immigration, Bureaux régionaux	Nov 2009	1	1

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Coordinator Name:	Jo-Anne Brisbois	Tel#:	613-957-4220
OPI:	Patrick Vézina	Tel#:	613-957-4670
Also sent to:	Alexandre Larouche 613-941-9256, Daniel Therrien 613-952-4774		

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Immigration Law Regional Offices 2009

Recommendation # 2 (IA Ref# 2009-35-2)	Risk Ranking: Low
Information Systems	
It is recommended that the Director General, Law Practice Management Directorate, and the ADAG, PSDI Portfolio, consider the deployment of GASPARD to client departments (with respect to case law).	

Management Response and Action Plan
<p>LPMD</p> <p>We agree. We will consider whether it would be feasible and appropriate to provide limited and secure access to case law found in GASPARD to officers in CIC and CBSA so as to make a determination on such feasibility before August 30, 2010. If the conclusion is that it would be feasible and appropriate to do so, we will then set a date before which access to case law in GASPARD will be provided to officers in CIC and CBSA. A pilot project currently under way with CIC will provide us with the additional information for our determination.</p> <p>PSDI</p> <p>We agree. The GASPARD team in the QRO have entered into an MOU with CIC on a trial basis since July 2009 (copy attached) and will assess client satisfaction with the product by the end of August 2010. Once we have the results from the pilot project, we will be in a position to make informed decisions regarding the provision of access to clients on a broader basis. Further, with regard to use of pay-per-use legal information services, we agree to prioritize the use of departmental tools.</p>

Last Update (September 2012)
<p>Justipedia was released on February 1st, 2012 and will be fully implemented by the end of 2012-13. Justipedia will replace GASPARD and other KM systems. Pilot projects involving the provision of limited and secure access to case law found in GASPARD to officers in CIC and CBSA will be continued in Justipedia in 2012-13 and are expected to be completed by December 2012. We will then be in a position to consider whether it would be feasible and appropriate to provide limited and secure access to case law found in Justipedia to other departments and agencies.</p> <p>LEVEL 4 // Estimated Date of Completion: End of 2012-2013</p>

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress) <input type="checkbox"/> Level 2 (Planning Stage: plans created & approved) <input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation) <input checked="" type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented) <input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

Current Status as at March 31, 2013 (please provide details on progress against the management action plan):
<p>GASPARD (with respect to case law) was successfully made available to CIC and CBSA on a limited basis. CIC and CBSA access to GASPARD ceased in 2012 when all legal knowledge management systems were replaced by Justipedia, Justice Canada national legal knowledge management portal.</p> <p>The Management Sector and PSDI have responded to the specific recommendation contained in the audit report and considers this action completed.</p> <p>Estimated Date of Completion:</p>

CAE Assessment
The CAE supports closure of this recommendation in light of the completion of the departmental roll-out of Justipedia (which replaced GASPARD).

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OPI:	Patrick Vézina	Tel#:	613-957-4670
Also sent to:	Alexandre Larouche 613-941-9256, Daniel Therrien 613-952-4774		

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Budgetary Allocation 2010

**TAB 8/Onglet 8: Budgetary Allocation and Forecasting/Affectations et prévisions
budgétaires**

Summary/Sommaire:

Tab/ Onglet	Audit Name/Nom de la vérification	Audit Date/Date de la vérification	Carry Over MAPs / PAG ouverts	MAPs Closed / PAG fermés
8	Budgetary Allocation and Forecasting/ Affectations et prévisions budgétaires	July/Juillet 2010	1	0

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Coordinator/Name:	Carla Sanipelli	Tel#:	613-941-7343
OPR:	Daniel Schnob	Tel#:	613-948-5117
Absent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Budgetary Allocation 2010

Recommendation # 3 (IA Ref# 2010-3-3)	Risk Ranking: Low
Financial Management Advisors It is recommended that the CFO: <ol style="list-style-type: none"> after consulting with portfolio/sector heads, ensure that the roles and responsibilities of the Financial Management Advisor function are defined; seek the support of the Senior Management Board to ensure the successful implementation of the Financial Management Advisor function in portfolios and sectors. 	

Management Response and Action Plan
<p>Agreed. In July 2009, as part of the Deputy Minister's announcement regarding the creation of the Chief Financial Officer Model, it was noted that a key element of the CFO implementation was formalizing the Financial Management Advisory function across the Department. Sufficient time has now elapsed to carry out an assessment of the FMA function from which the feedback will be used as the basis for improving the level of services received and for sharing of best practices. The CFO met with stakeholders (ADMs, ADAGs, Heads of Sectors, Directors of Business Management, and Financial Management Advisors) in the fall of 2009 with a goal of facilitating a common understanding of the role and responsibilities of the FMA. A report will be drafted of the assessment, discussions, and findings in effort to determine next steps and ensure successful implementation. The CFO will provide an update, including report results, of the FMA implementation to the Senior Management Board to ensure the Department's ongoing commitment to this portion of the CFO model, prior to the end of fiscal year 2010-11. Clarity around roles and responsibilities will also be incorporated as part of the CFO's roles and responsibilities project currently being undertaken by the Branch.</p>

Last Update (September 2012)
<p>Part (a) of the recommendation was completed as of the March 2012 update.</p> <p>In regards to part (b) of the recommendation, the implementation of the Financial Management Advisor (FMA) Model is ongoing and is a key priority for the Chief Financial Officer (CFO). Approximately six new FMAs have been hired to augment the FMA model and capacity of the Department.</p> <p>Going forward, the consolidation of Internal Services on August 1st, 2012 will provide the CFO with the opportunity to professionalize the FMA function across the Department through the hiring of additional Financial Officers to support it. The current CFO Branch consolidation project proposed plan requires DM approval, so the augmentation of this function across the Department is expected to occur in 2013.</p> <p>LEVEL 3 // Estimated Date of Completion: December 31, 2013</p>

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input checked="" type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

Current Status as at March 31, 2013 (please provide details on progress against the management action plan):
<p>Part (a) of the recommendation was completed as of the March 2012 update.</p> <p>In regards to part (b) of the recommendation, CFOB continues to work on developing the FMA model. The model remains a key priority for the Chief Financial Officer, with the goal of transitioning the FMA role to that of a strategic advisor. Further to the September 2012 update, CFOB has worked extensively on its Consolidation Plan; however, the Plan has not yet been approved by the DM. It is the hope of the CFO that the Consolidation Plan will be presented to the DM shortly, and approved and supported by the senior leadership of the Department.</p> <p>It has been challenging to staff FMA positions in the current environment of constraint, and in moving forward it remains unclear if</p>

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**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Budgetary Allocation 2010

these constraints will be lifted. The implementation has also been delayed due to difficulties and delays in obtaining staffing approvals. The plan is to augment the FMA structure over the next two to three years with FI 04s that will play the strategic advisor function to ADMs and ADAGs. These senior FMAs will be supported by other FMAs at various levels.

Estimated Date of Completion:

March 31, 2015

CAE Assessment

Although this audit dates back to 2010, the CAE supports the extension of the deadlines in order to seek approval and support for the implementation of the FMA model.

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
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**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Cost Recovery 2010

TAB 9/Onglet 9: Cost Recovery Framework/Cadre de recouvrement des coûts

Summary/Sommaire:

Tab/ Onglet	Audit Name/Nom de la vérification	Audit Date/Date de la vérification	Carry Over MAPs / PAG ouverts	MAPs Closed / PAG fermés
9	Cost Recovery Framework/ Cadre de recouvrement des coûts	July/Juillet 2010	2	0

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Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Cost Recovery 2010

Recommendation # 2 (IA Ref# 2010-9-2)	Risk Ranking: High
Integrated Planning It is recommended that the CFO, with the support of the ADM, Management Sector, ensure that an integrated plan is prepared that sets out a strategy for the management of cost recovery.	

Management Response and Action Plan Agree. The CFOB strategic plan has identified the need for the establishment of a net vote framework that would articulate the Department's management of its net vote authority, including the re-engineering of cost recovery processes. The framework will be a formal document that provides context, standards, and directions, as well as the supporting structure. This document will consist of a set of ideas, conditions, or assumptions that determine how the management of the net vote authority and cost recovery processes will be approached, perceived, and understood by departmental staff. Articulated roles and responsibilities will ensure all requirements are assigned so that established standards may be adhered to. It is anticipated that the net vote framework project will move forward over the next two years (i.e. 2010-11 and 2011-12), and that the development of an integrated plan for the management of cost recovery formalizing the vision will be part of discussions noted under Recommendation 1. In support of such a framework, the plan will focus on gaps and the development of enhancements, which will direct resources to priorities, set a direction with deliverables, establish a timeframe, and ensure objectives are met.
--

Last Update (September 2012) Status as of September 28, 2012 = Ongoing (65% complete) Continued progress has been made on the Cost Recovery Process Improvement (CRPI) project, with Phase I completed and completion of Phase II of the project to occur by March 31, 2013. The outcomes of the CRPI project will serve as the foundation for the development of the Net Vote Framework. Building upon the common business practices and standards implemented in conjunction with CRPI, the CFO Branch intends to complete the development of the Net Vote Framework by March 31, 2014. The delay of the Net Vote Framework implementation is attributed to two factors: an extension of the CRPI project timelines and the reallocation of resources in CFOB to maintain other core activities. LEVEL 4 // Estimated Date of Completion: March 31, 2014

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input checked="" type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

Current Status as at March 31, 2013 (please provide details on progress against the management action plan): Status = Ongoing (70% complete) The outcomes of the Cost Recovery Process Improvement (CRPI) project serve as the foundation for the development of the Net Vote Framework. Continued progress has been made on CRPI since the last update, including the completion of Phase II of the project on March 31 st , 2013. Depending on a 2013-14 departmental reserve funding decision, it is anticipated that CRPI will be prolonged until the Summer of 2013 in order to deliver further enhancements requested by the user community. Building upon the common business practices and standards implemented in conjunction with CRPI, the CFO Branch intends to complete the development of the Net Vote Framework by Summer 2015. The extended delay of the Net Vote Framework implementation is attributed to three factors: a continued extension of the CRPI project timelines (now possibly until Summer 2013), the delays in approvals to staff for positions to work on this project, and the reallocation of resources in the CFO Branch to maintain other core activities. To date, the broad framework and concept for the Net Vote Framework has been shared with the Finance, Timekeeping (ICase

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MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Cost Recovery 2010

Business Practice Division) and Director of Business Management communities. In late April 2013, the broad framework and concept is scheduled to be presented to the Deputy Minister at Management Committee. In May 2013, the project charter and the first draft policy will be shared with the Finance, Timekeeping (ICase Business Practice Division) and Director of Business Management communities.

LEVEL 4 // Estimated Date of Completion: Summer 2015

Estimated Date of Completion:

September 15, 2015

CAE Assessment

Although this audit dates back to 2010, the CAE supports the extension of the deadlines in light of the significant organizational changes stemming from budget 2012, the concomitant delays in staffing and the re-prioritization of the activities and projects.

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MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Cost Recovery 2010

Recommendation # 3 (IA Ref# 2010-10-3)	Risk Ranking: Medium
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Human Resources

It is recommended that the CFO ensure that each of the portfolios and the three specialized legal areas at headquarters are appropriately staffed with FMAs.

Management Response and Action Plan

Agree. The financial management advisor function continues to gain support and be strengthened throughout the Department. The CFO has made presentations to each of the Direct Reports to the Deputy Minister within the National Capital Region to discuss the role of the FMAs, and outline their responsibilities and how they are to operate within the Department. Additional FMAs have been hired including the FMA director, remaining positions are being created, and permanent financial resources are being requested from the Department. As of March 31, 2010 there are 8 FMAs within 10 portfolios/sectors and some areas have hired and/or requested more than one FMA. Departmental support is growing and plans are moving forward; however, some challenges may be encountered in regard to competing demands for limited departmental resources, given the current government fiscal restraints. It is intended that within the next two years the FMA function will be fully integrated within the Department's business.

Last Update (September 2012)

Progress continues to be made in staffing plans as referenced in the management response and March 2012 update. At the beginning of the current fiscal year (2012-13), approximately \$1.1M in permanent funding was given to CFO Branch's Portfolio Management in support of the FMA model. As of Sept 28, 2012, Justice had 14 Financial Management Advisors (FMAs) representing 10 out of 12 portfolios/sectors, with some areas having more than one FMA. While support for the FMA model continues to increase across the Department, recruitment has become an issue, as 98% of Justice's Financial Officers are under "affected" status. The FMA model remains a key priority for the CFO and the focus on consolidation of Internal Services will further augment and solidify this role within the CFO Branch.

LEVEL 4 // Estimated Date of Completion: September 30, 2013

Update:

<input type="checkbox"/> Level 1 (No or insignificant progress)	<input checked="" type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full Implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

Current Status as at March 31, 2013 (please provide details on progress against the management action plan):

The plans for the FMA portfolio continue to evolve due to the review of internal services, which resulted in a consolidation along functional lines, including Finance. The review also resulted in reductions, which has had a direct impact on our ability to staff various positions, including those within the FMA portfolio. The plans for implementation have also been delayed due to difficulties and delays in obtaining staffing approvals. There is now a shortage of FMAs in four sectors and portfolios. The staff shortage coupled with the consolidation of internal services will result in a re-organization of the FMA structure within CFOB and across the Department.

The review of this structure should be completed shortly. A new organizational structure will be proposed to the CFO and subsequently to the DM, which will continue to ensure that FMAs remain strategic advisors that are client focused.

Estimated Date of Completion:

March 31, 2015

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPI#:	Daniel Schnob	Tel#:	613-948-5117
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**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Cost Recovery 2010

CAE Assessment

Although this audit dates back to 2010, the CAE supports the extension of deadlines in light of the significant organizational changes stemming from Budget 2012.

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**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: PeopleSoft Human Resources Management System 2011

**TAB 10/Onglet 10: PeopleSoft HR Management System/Système de gestion des ressources
humaines PeopleSoft**

Summary/Sommaire:

Tab/ Onglet	Audit Name/Nom de la vérification	Audit Date/Date de la vérification	Carry Over MAPs / PAG ouverts	MAPs Closed / PAG fermés
10	PeopleSoft HR Management System/ Système de gestion des ressources humaines PeopleSoft	Mar 2011	5	1

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Coordinator Name:	cc : Jo-Anne Brisebois	Tel#:	613-957-4220
OPI:	Joan Pratt	Tel#:	613-941-1867
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MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: PeopleSoft Human Resources Management System 2011

Recommendation # 5 (IA Ref# 2011-23-5)	Risk Ranking: Low
System Documentation It is recommended that the DG, HRPDD ensure that the Operations Guide is finalized and provided to users as soon as it is completed.	

Management Response and Action Plan
Agreed. The HR Systems Team recognizes the need to have all processes and procedures that are currently used to effectively maintain the application documented and made known to the ever-increasing user community. The work in relation to the development of the Operations Guide is nearing completion and will be finalized, communicated to all users, and made available through HR and You. Completion date: By March 31, 2012.

Last Update (September 2012)
The PeopleSoft product is undergoing a mandatory technical upgrade. This upgrade will result in changes to the look and feel of the system as well as navigation within the system. Given this upgrade, the HR Systems team agreed that the draft Guide would be revised to reflect the new product once the upgrade is complete. The new version will be released into production on November 19th followed by a four week stabilization period. As such, final revision of the Guide will take place when the system upgrade is complete.
The finalization and communication of this Guide is a priority for the HRMS Team and we are on track to meet the March 31, 2013 deadline.
LEVEL 3 // Estimated Date of Completion: March 31, 2013

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress) <input type="checkbox"/> Level 2 (Planning Stage: plans created & approved) <input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation) <input checked="" type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented) <input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

Current Status as at March 31, 2013 (please provide details on progress against the management action plan):
The PeopleSoft mandatory technical upgrade resulted in changes to the look and feel of the system as well as navigation within the system. Given this upgrade, the HR Systems team revised the Operations Guide to reflect the new product following completion of the upgrade, which was released into production on November 19, 2012. This was followed by a four week stabilization period.
The March 31, 2013 deadline has been met.
Estimated Date of Completion: March 31, 2013

CAE Assessment
The CAE supports the closure of the recommendation as fully implemented.

Coordinator Name:	cc : Jo-Anne Brisebois	Tel#:	613-957-4220
OPI:	Joan Pratt	Tel#:	613-941-1867
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: PeopleSoft Human Resources Management System 2011

Recommendation # 7 (IA Ref# 2011-25-7)	Risk Ranking: Medium
Back ups and Business Continuity Planning It is recommended that the DG, HRPDD ensure that the criticality of PeopleSoft is assessed through a BIA, and that a BCP is completed for PeopleSoft.	

Management Response and Action Plan
Agreed. HRPDD and the IMB will work in collaboration to ensure that the assessment and plan are completed in conformity with the department's guide to business continuity. Completion date: By March 31, 2013.

Last Update (September 2012)
This activity is on track. As previously indicated the HR Business Continuity Plan (BCP) was used as the basis for the development of a PeopleSoft BCP. The PeopleSoft BCP is nearing completion and is referenced in an addendum that was developed by the IMB of an IT BCP related to Corporate Applications.
LEVEL 2 // Estimated Date of Completion: March 31, 2013

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress) <input type="checkbox"/> Level 2 (Planning Stage: plans created & approved) <input checked="" type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation) <input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented) <input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
Current Status as at March 31, 2013 (please provide details on progress against the management action plan):	
The HR Business Continuity Plan was used as the basis for the development of a PeopleSoft BCP. The PSoft BCP is complete and is referenced in an addendum, developed by IMB, of an IT BCP related to Corporate Applications.	
Will work with ISB to ensure that PeopleSoft requirements form part of BCP for Corporate Applications to meet requirements (including BIA).	
Estimated Date of Completion:	
September 30, 2013	

CAE Assessment
The CAE supports the extension of the deadline to September 2013.

Coordinator Name:	cc : Jo-Anne Brisebois	Tel#:	613-957-4220
OPI:	Joan Pratt	Tel#:	613-941-1867
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: PeopleSoft Human Resources Management System 2011

Recommendation # 11 (IA Ref# 2011-29-11)	Risk Ranking: Medium
Data Sensitivity & Security It is recommended that the DG, HRPDD ensure that a Privacy Impact Assessment and a Threat and Risk Assessment are completed.	

Management Response and Action Plan Agreed. HRPDD in collaboration with IMB will take the necessary steps to secure the services of experts to undertake a Privacy Impact Assessment and a Threat Risk Assessment in order to ensure compliance with the Treasury Board Management of Information Technology Security (MITS.). Completion date: By March 31, 2013.
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Last Update (September 2012) The Threat Risk Assessment has been completed and contracting arrangements are now being finalized in order to secure contracting assistance for the conduct and development of the Privacy Impact Assessment. LEVEL 3 // Estimated Date of Completion: March 31, 2013
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Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input checked="" type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full Implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

Current Status as at March 31, 2013 (please provide details on progress against the management action plan): The TRA has been completed and endorsed by all parties involved. The March 31, 2013 deadline for the TRA has been met. The PIA is underway. Estimated Date of Completion: TRA - March 31, 2013 / PIA Dec. 31, 2013

CAE Assessment The CAE supports the extension of the deadline in order to complete the PIA.

Coordinator Name:	cc : Jo-Anne Brisebois	Tel#:	613-957-4220
OPI:	Joan Pratt	Tel#:	613-941-1867
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: PeopleSoft Human Resources Management System 2011

Recommendation # 12 (IA Ref# 2011-30-12)	Risk Ranking: Medium
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Data Sensitivity & Security

It is recommended that the DG, HRPDD ensure that the Certification and Accreditation of PeopleSoft is updated.

Management Response and Action Plan

Agreed. HRPDD in collaboration with the IMB will take the necessary steps to ensure that the Certification and Accreditation of PeopleSoft is updated and completed by March 2013.

Last Update (September 2012)

The Information Management Branch in conjunction with the HR Systems Unit are working with IT Security to ensure that this work proceeds and is completed by March 31, 2013.

LEVEL 2 // Estimated Date of Completion: March 31, 2013

Update:

<input type="checkbox"/> Level 1 (No or insignificant progress)	<input checked="" type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

Current Status as at March 31, 2013 (please provide details on progress against the management action plan):

Work has been completed by the Peoplesoft partners. Currently awaiting development of Certification document from Chief, Technology Security, Denis Roussel.

Estimated Date of Completion:

September 30, 2013.

CAE Assessment

The CAE supports the extension of the deadline to September 2013.

Coordinator Name:	cc : Jo-Anne Brisebois	Tel#:	613-957-4220
OPI:	Joan Pratt	Tel#:	613-941-1867
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: PeopleSoft Human Resources Management System 2011

Recommendation # 13 (IA Ref# 2011-31-13)	Risk Ranking: Medium
Data Sensitivity & Security	
It is recommended that the DG, HRPDD ensure that the appropriate protection level for all HR data is identified and communicated to staff.	

Management Response and Action Plan
<p>Agreed. The PeopleSoft HRMS is the government-endorsed application for HR Management. The Government of Canada version of the PeopleSoft HRMS is maintained by the Program Centre housed within PWGSC. The Program Centre has identified appropriate security designations for the modules licensed by the Government of Canada. Responsibility for access controls is left to the discretion of each government department utilizing the application taking these security designations into consideration. As referenced above, both the 2006 Threat and Risk Assessment and the 2008 Certification and Accreditation documents designate PeopleSoft data as either Protected A or B. Work to update both of these documents will be undertaken in the short-term and will serve to reconfirm the appropriate levels of protection for the system. As referenced in 8, 9, 10 above, restricted access with a second level approval process is granted for Protected B data.</p> <p>A communication strategy will be put in place to identify and communicate level of protection for all HR data.</p> <p>Completion Date: By March 31, 2012.</p>

Last Update (September 2012)
Please refer to recommendation # 11 (above).
The review of security levels forms part of the Privacy Impact Assessment (PIA).
A communications strategy will be developed and implemented upon completion of the PIA.
LEVEL 3 // Estimated Date of Completion: March 31, 2013

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full Implementation – Structures & processes operating as intended and are fully implemented)
<input checked="" type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

Current Status as at March 31, 2013 (please provide details on progress against the management action plan):
Please refer to recommendation #11 above.
The review of security levels forms part of the Privacy Impact Assessment (PIA).
A communications strategy will be developed and implemented upon completion of the PIA.
Estimated Date of Completion: December, 2013

CAE Assessment
The CAE supports the extension of the deadline in order to complete the PIA.

Coordinator Name:	cc : Jo-Anne Brisebois	Tel#:	613-957-4220
OPI:	Joan Pratt	Tel#:	613-941-1867
Also sent to:			

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: LEGAL AGENT ACCOUNT VERIFICATION PROCESS (LAAV) 2011

**TAB 11/Onglet 11: LEGAL AGENT ACCOUNT VERIFICATION PROCESS
(LAAV)/Processus de vérification des comptes des mandataires**

Summary/Sommaire:

Tab/ Onglet	Audit Name/Nom de la vérification	Audit Date/Date de la vérification	Carry Over MAPs / PAG ouverts	MAPs Closed / PAG fermés
11	LEGAL AGENT ACCOUNT VERIFICATION PROCESS (LAAV)/ Processus de vérification des comptes des mandataires	Apr/Avr 2011	2	0

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Coordinator Name:	JODI SEGUIN	Tel#:	613-960-1693
OPI:	CAROLINE GUILLEMETTE	Tel#:	613-946-7641
Also sent to:	Daniel Schnob 613-948-5117 cc Carla Sanipelli 613-941-7343		

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: LEGAL AGENT ACCOUNT VERIFICATION PROCESS (LAAV) 2011

Recommendation # 1 (IA Ref# 2011-9-1)	Risk Ranking: Medium
Policies, Procedures & Guidelines	
It is recommended that the Director, LPMC, in consultation with the Chief Financial Officer, review and update procedures regarding account verification for use by all regional offices.	

Management Response and Action Plan
Agreed. The LPMC, in consultation with the Chief Financial Officer Branch (CFOB), will review the account verification (taxation) procedures within this fiscal year (2011-2012). This will include the revision of all existing guidelines, forms, templates, and checklists used in the taxation process. Once the procedures have been finalized, they will form the basis for an operational Directive that will be implemented in all regional offices and legal services units across the Department.

Last Update (September 2012)
Status as of January 24, 2013 The LPMC established and consulted with a national working group consisting of representatives from both regional offices and headquarters' legal services units, which resulted in some amendments to the policy suite. The policy was completed and translated in December 2012. The LPMC is scheduled to present the policy suite to Management Committee on March 14, 2013 for their endorsement and to Executive Committee on March 27, 2013 for approval and formalization. The action plan is 95% complete. LEVEL 4 // Estimated Date of Completion: Policy Suite Approval – March 31, 2013 / Full Implementation – June 30, 2013

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input checked="" type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
Current Status as of March 31, 2013 (please provide details on progress against the management action plan):	
Executive Committee approved the full suite of policy instruments on April 10, 2013. LPMC expects to implement the policy suite in all regional offices and legal services units across the Department by June 30, 2013. The action plan is 98% complete.	
Estimated Date of Completion:	
Full Implementation – June 30, 2013	

CAE Assessment
The CAE supports the management self-assessment at level 4.

Coordinator Name:	JODI SEGUIN	Tel#:	613-960-1693
OPI:	CAROLINE GUILLEMETTE	Tel#:	613-946-7641
Also sent to:	Daniel Schnob 613-948-5117 cc Carla Sanipelli 613-941-7343		

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: LEGAL AGENT ACCOUNT VERIFICATION PROCESS (LAAV) 2011

Recommendation # 3 (IA Ref# 2011-11-3)	Risk Ranking: Low
Rates & Delegation: It is recommended that the Director, LPMC ensure that the hourly rate guidelines and the delegated approval authorities are reviewed and modified.	

Management Response and Action Plan
Agreed. With the introduction in recent years of competitive processes for the selection of legal agents, the hourly rate guidelines have become a secondary factor in establishing remuneration as market forces come into play through the proposal process. The guidelines remain relevant in the few cases where the work is assigned to an agent on a sole-source basis or further to a referral to the Minister of Justice.

Last Update (September 2012)
Status as of January 24, 2013 The LPMC established and consulted with a national working group consisting of representative from both regional offices and headquarters' legal services units, which resulted in some amendments to the policy suite. The policy was completed and translated in December 2012. The LPMC is scheduled to present the policy suite to Management Committee on March 14, 2013 for their endorsement and to Executive Committee on March 27, 2013 for approval and formalization. Consultations are ongoing with CFOB to determine if amendments are required to the Department's <i>Delegation of Financial Signing Authorities Chart and Supporting Notes</i> . The action plan is 95% complete. LEVEL 4 // Estimated Date of Completion: Policy Suite Approval – March 31, 2013 / Full Implementation – June 30, 2013

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input checked="" type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
Current Status as of March 31, 2013 (please provide details on progress against the management action plan):	
Executive Committee approved the full suite of policy instruments on April 10, 2013. LPMC expects to implement the policy suite in all regional offices and legal services units across the Department by June 30, 2013. Consultations with CFOB are complete, which resulted in a number of amendments to the Department's <i>Delegation of Financial Signing Authorities Chart and Supporting Notes</i> . These amendments are subject to Departmental approvals expected in late May 2013. The action plan is 98% complete.	
Estimated Date of Completion:	
Full Implementation – May 31, 2013	

Coordinator Name:	JODI SEGUIN	Tel#:	613-960-1693
OP:	CAROLINE GUILLEMETTE	Tel#:	613-946-7641
Also sent to:	Daniel Schnob 613-948-5117 cc Carla Sanipelli 613-941-7343		

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: LEGAL AGENT ACCOUNT VERIFICATION PROCESS (LAAV) 2011

CAE Assessment
The CAE supports the management self-assessment at level 4.

Coordinator Name:	JODI SEGUIN	Tel#:	613-960-1693
OPI:	CAROLINE GUILLEMETTE	Tel#:	613-946-7641
Also sent to:	Daniel Schnob 613-948-5117 cc Carla Sanipelli 613-941-7343		

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Canada Border Services Agency Legal Services Unit 2011

TAB 12/Onglet 12: Staffing/Resourcing Function/Fonction de dotation-ressourcement

Summary/Sommaire:

Tab/ Onglet	Audit Name/Nom de la vérification	Audit Date/Date de la vérification	Carry Over MAPs / PAG ouverts	MAPs Closed / PAG fermés
12	Staffing/Resourcing Function/ Fonction de dotation- ressourcement	June/Juin 2011	1	0

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Coordinator Name:		Tel#:	
OPI:	Leigh Taylor	Tel#:	613-946-2505
Also sent to:	Daniel Therrien 613-952-4774		

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Canada Border Services Agency Legal Services Unit 2011

Recommendation # 4 (IA Ref# 2011-54-4)	Risk Ranking: Medium
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Controlling

It is recommended that the Director General, HRPDD take the necessary steps to implement the Staffing Monitoring Framework.

Management Response and Action Plan

Agreed. The new Staffing Monitoring Framework has been endorsed by Senior Management. The new framework outlines ongoing monitoring activities (e.g. area of selection), cyclical activities (e.g. appointment file reviews), directed (e.g. acting appointments over 12 months), as well as thematic (e.g. delegation, priority administration, etc.) monitoring activities as well as the frequency of each. Completion date: Implementation of the approved framework has commenced and the completion of the current monitoring cycle and its associated activities is March 2013.

Last Update (September 2012)

As part of the Monitoring Framework, in October 2012, Corporate Programs initiated an appointment file review exercise. This exercise was identified as a requirement in the departmental action plan to address PSC audit findings. The Report related to this review will be submitted to the Deputy Minister and senior management in February 2013. The Department will have completed a full cycle of staffing monitoring by its target date of March 31, 2013.

LEVEL 4 // Estimated Date of Completion: March 2013

Update:

<input type="checkbox"/> Level 1 (No or insignificant progress)	<input checked="" type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

Current Status as at March 31, 2013 (please provide details on progress against the management action plan):

To fully implement the Staffing Monitoring Framework (SMF), the remaining element was the completion of an internal appointment review exercise by Human Resources and Professional Development Directorate (HRPDD). The internal appointment review exercise was initiated on November 1, 2012 and concluded at the end of February, 2013. The final report regarding the findings of the review was submitted to the attention of the D.G, HRPDD and will be reported to senior management by end of May, 2013.

Estimated Date of Completion: May 31, 2013

CAE Assessment

The CAE supports the management self-assessment at Level 4.

Coordinator Name:		Tel#:	
OPI:	Leigh Taylor	Tel#:	613-946-2505
Also sent to:	Daniel Therrien 613-952-4774		

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Canada Border Services Agency Legal Services Unit 2011

**TAB 13/Onglet 13: Canada Border Services Agency Legal Services Unit/SJM de l'Agence
des services frontaliers du Canada**

Summary/Sommaire:

Tab/ Onglet	Audit Name/Nom de la vérification	Audit Date/Date de la vérification	Carry Over MAPs / PAG ouverts	MAPs Closed / PAG fermés
13	Canada Border Services Agency Legal Services Unit/SJM de l'Agence des services frontaliers du Canada	Aug/Août 2011	2	1

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Coordinator Name:		Tel#:	
OPI:	Leigh Taylor	Tel#:	613-946-2505
Also sent to:	Daniel Therrien 613-952-4774		

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Canada Border Services Agency Legal Services Unit 2011

Recommendation # 4 (IA Ref# 2011-4-4)	Risk Ranking: Low
Controlling	
It is recommended that the Senior General Counsel ensure that the CBSA Legal Services Manual is finalized and distributed to staff.	

Management Response and Action Plan
Agreed. The LSU's Office Procedures Manual will be finalized by March 31, 2012 and distributed to all staff. While there is a solid draft of the manual already prepared which is currently being used by staff, it is expected that there will be significant new procedures and direction developed over the course of the next six to eight months that will need to be documented in the manual.

Last Update (September 2012)
There has been consistent work over the past 6 months to develop new procedures and direction, particularly with respect to issues like file closing procedures. Moreover, the working group responsible for the Manual has met to discuss a way forward. It remains to implement it.
LEVEL 2 // Estimated Date of Completion: March 31, 2013

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input checked="" type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

Current Status as at March 31, 2013 (please provide details on progress against the management action plan):
The working group tasked with this audit recommendation has met and some of the newly developed office procedures have been finalized. There has been some progress made on finalizing the overarching document.
Estimated Date of Completion:
June 30, 2013

CAE Assessment
The CAE supports the extension of the deadline.

Coordinator Name:		Tel#:	
OPI:	Leigh Taylor	Tel#:	613-946-2505
Also sent to:	Daniel Therrien 613-952-4774		

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Canada Border Services Agency Legal Services Unit 2011

Recommendation # 5 (IA Ref# 2011-5-5)	Risk Ranking: Low
Human Resources	
It is recommended that the Senior General Counsel ensure that the work objectives for team leaders refer to assigned responsibilities for their corporate priority in order to facilitate the performance appraisal process.	

Management Response and Action Plan
Agreed. As a result of the redesign of the LA classification standard, the team leaders in the LSU are now included in the Law Management (LC) Occupational Group and are required to prepare performance agreements as set out in Appendix B of the Treasury Board's Directive on the Performance Management Program for Executives. The Senior General Counsel will ensure that the team leaders' performance agreements include Key Commitments relating to those that the Senior General Counsel has identified in her performance agreement and that reflect the LSU's corporate management priorities as outlined in its business plan. As a result, each team leader will have objectives that refer to their priority activities as assigned by the Senior General Counsel. This recommendation is currently being implemented: the PSDI Portfolio is in the process of preparing performance agreements for its executives for fiscal 2011-12 and this recommendation will be implemented as those agreements are finalized.

Last Update (September 2012)
On May 23, 2012 the team managers held their annual planning exercise and set the office priorities for fiscal year 2012/13. Each team manager assumed responsibility for a number of these priorities. A record of decision was taken respecting these priorities. As a follow up, on October 21, the Executive Director and Senior General Counsel sent an e-mail to the team managers again setting out the priorities and asking each manager to prepare an action plan to address the priorities assigned to them, identifying the steps to be taken and the deadlines for each step. She will be meeting with each of the team managers over the next 2-3 weeks to evaluate the plans and discuss going forward.
LEVEL 4 // Estimated Date of Completion: December 15, 2012

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress) <input type="checkbox"/> Level 2 (Planning Stage: plans created & approved) <input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation) <input checked="" type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented) <input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

Current Status as at March 31, 2013 (please provide details on progress against the management action plan):
Following the May 23, 2012 planning exercise, and the e-mail setting out the corporate objectives for each of the managers, the Executive Director met with each of the managers to discuss their corporate objectives. Each manager produced a work plan for their objectives, and the Executive Director and managers have discussed progress at regular intervals. These objectives are incorporated into individuals PMAs and the managers will be evaluated on their progress on the objectives. We are in the process of scheduling our annual planning exercise for fiscal year 2013/14 (likely to be held in early May), and will again set objectives for each of the managers. The cycle will begin again.

Coordinator Name:	Leigh Taylor	Tel#:	613-946-2505
Also sent to:	Daniel Therrien 613-952-4774		

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Canada Border Services Agency Legal Services Unit 2011

Estimated Date of Completion:
Complete
CAE Assessment
The CAE supports closing this recommendation as fully implemented.

Coordinator Name:		Tel#:	
OP:	Leigh Taylor	Tel#:	613-946-2505
Also sent to:	Daniel Therrien 613-952-4774		

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Regional Contracting 2011

TAB 14/Onglet 14: Regional Contracting/Marchés de services régionaux

Summary/Sommaire:

Tab/ Onglet	Audit Name/Nom de la vérification	Audit Date/Date de la vérification	Carry Over MAPs / PAG ouverts	MAPs Closed / PAG fermés
14	Regional Contracting/Marchés de services régionaux	Aug/Août 2011	8	1

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Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Regional Contracting 2011

Recommendation # 1 (IA Ref# 2011-36-1)	Risk Ranking: Medium
Planning	
It is recommended that the Director General, Administration Directorate, in conjunction with the regional directors of Corporate Services, ensure that adequate planning in relation to contracting activities is undertaken at the regional level.	

Management Response and Action Plan
Agreed. The Director General, Administration Directorate will align procurement planning to business and investment planning in the Regions and at Headquarters. Target date September 2012. Given the varied nature of the legal services provided by the Department and its lack of control over schedules to meet court-imposed directions and deadlines, many requirements, such as the litigation services mentioned in the audit, are time-sensitive. The Administration Directorate will award a number of multi-year procurement vehicles to meet recurring requirements such as printing, court reporting, transcription, and process servers. Use of these procurement vehicles will be mandatory for all clients. Target Date February 2012.

Last Update (September 2012)
Several key components of the action plan were previously completed, as outlined in the March 2012 update. An update on the two remaining components is provided below. A Request for Standing Offer (RFSOs) for court reporters/transcription in British Columbia is posted and a standing offer should be issued by March 2013. RFSOs for other provinces with significant volumes of requirements will follow. A draft RFSO for process servers has been prepared and should be posted for Ontario by January 2013. All the standing offers for process servers and for court reporting/transcription should be issued by December 2013. LEVEL 4 // Estimated Date of Completion: December 15, 2013

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input checked="" type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

Current Status as at March 31, 2013 (please provide details on progress against the management action plan):
Most of the key components were previously completed, as outlined in the September 2012 update. Bids have been evaluated for the court reporter / transcription requirements in British Columbia and agreements will be awarded in April 2013. As well, The requests for standing offers (RFSOs) for court reporters/transcription were posted in March for Manitoba, Saskatchewan and Alberta. A RFSO for processes servers in Ontario was also posted. All the standing offers for process servers and for court reporting/transcription should be issued by December 2013. The implementation has been delayed due to difficulties and delays in obtaining staffing approvals.
Estimated Date of Completion:
December 15, 2013

CAE Assessment
The CAE supports the extension of this deadline to December 2013 in light of system-wide staffing delays stemming from Budget 2012.

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Regional Contracting 2011

Recommendation # 4 (IA Ref# 2011-39-4)	Risk Ranking: Medium
Contracting Activity under \$10,000	
It is recommended that the Director General, Administration Directorate, monitor contracting activity under \$10,000, including the sampling of contract files, to determine the extent of compliance with policies and procedures.	

Management Response and Action Plan
<p>Agreed. The Director General, Administration Directorate, will implement a Compliance and Monitoring Program. The Program will consist of a pre-award review for contracts over a predetermined value or for sensitive files. There will also be a post-contract award compliance review based on a target percentage of contracts within predetermined value ranges – for example, up to five percent of contracts valued between \$1,000 and \$10,000 will be subject to annual review. There will be ad hoc targeted reviews based on commodities as determined by the Director of Contracting and Materiel Management. These activities will support recommendations 4, 5, 6, 8, 10, 11, 12, 13 and 14. The Assistant Deputy Minister of the Management Sector has provided resources to support this activity. Target Date February 2012.</p> <p>The Department will develop training to address the processes, procedures and coding requirements for contracting, which will support recommendations 4, 6, 7, 10, 11, 12, 13, 14 and 15. The Assistant Deputy Minister of the Management Sector has provided resources to support this activity. Target Date December 2012.</p> <p>The Department will also create a series of policy instruments to improve procurement planning and compliance, which will support recommendations 4, 10, 11, 12, 14 and 15. The Assistant Deputy Minister of the Management Sector has provided resources to support this activity. Target Date February 2012.</p>

Last Update (September 2012)
<p>Several key components of the action plan were previously completed, as outlined in the March 2012 update. In regards to the two remaining components, the Monitoring and Compliance Program should be staffed and implemented by March 31, 2013, and a policy suite for contracting was presented and approved at Executive Committee on November 14, 2012 and will be issued by December 2012.</p> <p>LEVEL 4 // Estimated Date of Completion: March 31, 2013</p>

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input checked="" type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
Current Status as at March 31, 2013 (please provide details on progress against the management action plan):	
Further to the September 2012 update, the Monitoring and Compliance Program will be implemented in June 2013 following indeterminate staffing action. The implementation has been delayed due to difficulties and delays in obtaining staffing approvals.	
The Contracting policy suite was approved at Executive Committee in November 2012 and was issued December 14, 2012.	
Estimated Date of Completion:	
June 30, 2013	

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
COPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Regional Contracting 2011

CAE Assessment
The CAE supports the extension of the deadline in light of the system-wide staffing delays stemming from Budget 2012.

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Regional Contracting 2011

Recommendation # 7 (IA Ref# 2011-42-7)	Risk Ranking: Medium
Regional Contracts Review Committee	
It is recommended that the Director General, Administration Directorate, in conjunction with the regional directors general, ensure that the Regional Contracts Review Committees have clear terms of reference governing the exercise of their stewardship responsibilities with respect to contracting.	

Management Response and Action Plan
Agreed. The Director General, Administration Directorate will standardize roles and responsibilities for all Regional Contracts Review Committees and revise their terms of reference to strengthen oversight. Target Date November 2011.
As the authority for all Internal Services in the Region, the regional directors general (RDGs) play a key role and are in fact accountable for the management and service provision of contracting in a region. As such, RDGs are key partners with the Director General, Administration Directorate, in ensuring that contracting practices and supporting financial activities are carried out in compliance with government and departmental policies and procedures.
As a longer-term measure to strengthen accountability, the Director General, Administration Directorate, in conjunction with the CFO, will review the delegation of contracting authority within the Department to rationalize where it is required, and establish a process to delegate contracting authority to areas that require it. Changes to delegation of contracting authorities will be sought as required. Target Date December 2012.

Last Update (September 2012)
The Contract Review Committee document (Terms of Reference) has been sent to the Regional Directors General for another round of consultation and should be completed by February 2013. (80% complete)
A review of contracting delegation was completed and will be done on an annual basis going forward. It should be noted that the contracting function within the Department has now been centralized within the CFO Branch, which already had responsibility for reviewing, maintaining, and updating the delegation chart.
LEVEL 4 // Estimated Date of Completion: February 2013

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress) <input type="checkbox"/> Level 2 (Planning Stage: plans created & approved) <input type="checkbox"/> Level 3 (Preparing to Implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation) <input checked="" type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented) <input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
Current Status as at March 31, 2013 (please provide details on progress against the management action plan):	
Further to the September 2012 update, the Terms of Reference for the Contract Review Committee were approved by the Regional Directors General in March 2013.	
Estimated Date of Completion:	
N/A (Completed)	

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPIN:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Regional Contracting 2011

CAE Assessment

The CAE supports closing this recommendation as fully implemented.

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Regional Contracting 2011

Recommendation # 8 (IA Ref# 2011-43-8)	Risk Ranking: Medium
Reporting & Quality of Information for Management Decision Making	
It is recommended that the Director General, Administration Directorate, ensure that contracting information in IFMS is regularly reviewed for data integrity (complete, accurate, and timely).	

Management Response and Action Plan
Agreed. The Director General, Administration Directorate, will review contracting data in IFMS as part of the Compliance and Monitoring Program. Target Date February 2012. Upon identification of requirements, it may be necessary to modify existing IFMS reports to enable the timely validation process in a sustainable manner (depending on funding).
The Administration Directorate will prepare a training module for data integrity. Completed.

Last Update (September 2012)
Further to the March 2012 update, the Monitoring and Compliance Program should be staffed and implemented by March 31, 2013.
LEVEL 4 // Estimated Date of Completion: March 31, 2013

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input checked="" type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

Current Status as at March 31, 2013 (please provide details on progress against the management action plan):
Further to the September 2012 update, the Monitoring and Compliance Program will be implemented in June 2013 following indeterminate staffing action. The implementation has been delayed due to difficulties and delays in obtaining staffing approvals.
Estimated Date of Completion:
June 30, 2013

CAE Assessment
The CAE supports the extension of the deadline in light of system-wide staffing delays stemming from Budget 2012.

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Regional Contracting 2011

Recommendation # 9 (IA Ref# 2011-44-9)	Risk Ranking: Medium
Reporting & Quality of Information for Management Decision Making	
It is recommended that the Director General, Administration Directorate, in conjunction with the Chief Financial Officer, ensure that procedures, validation and edit rules are in place to manage contracting data.	

Management Response and Action Plan
Agreed. The Director General, Administration Directorate, will provide contracting procedures and coding requirements training to personnel who use their contracting authority. Phase I of the training - Completed June 2011. Target date for phase 2 of training - December 2011. The Compliance and Monitoring Program will monitor contract data on a quarterly or more frequent basis. Target Date February 2012.
Any other changes and enhancements to IFMS will be determined during the 2012-13 timeframe that the CFO Branch, has set to respond to the "Procure 2 Pay" re-engineering project requirements, subject to approval of the project as a priority within the investment planning exercise. Target Date March 2013.

Last Update (September 2012)
Further to the March 2012 CMMD update, the Monitoring and Compliance Program should be staffed and implemented by March 31, 2013.
In regards to the re-engineering project, the "Procure-to-Payment at Justice Project" was officially launched in November 2012 with an objective to have the business blueprint completed as a first phase. The second phase will consist of implementing the new functionality in IFMS and performing the business transformation required. The second phase is planned to be completed by the end of fiscal year 2013-14. To be noted is that this project is an inherent part of the CFO Branch cost-savings initiative.
LEVEL 3 // Estimated Date of Completion: April 2014

Update:
<input type="checkbox"/> Level 1 (No or insignificant progress) <input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved) <input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input checked="" type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement) <input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

Current Status as at March 31, 2013 (please provide details on progress against the management action plan):
Further to the September 2012 update, the Monitoring and Compliance Program will be implemented in June 2013 following indeterminate staffing action. The implementation has been delayed due to difficulties and delays in obtaining staffing approvals.
In regards to the "Procure to Payment at Justice Project", Justice is now a pilot department for the PWGSC IFMS Program Office (IFMS Core) procure to payment solution / footprint for all federal government departments using SAP.
Justice will be involved in all the steps of the pilot process, including the building, testing, integration, and roll-out steps. This will facilitate a robust knowledge transfer as the departmental subject matter experts (SMEs) will work collaboratively with the IFMS Program Office throughout the pilot process.
The timeline for the implementation of the procure to payment solution is government wide and is now estimated to be by

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPB:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Regional Contracting 2011

the end of fiscal year 2014-2015.

Estimated Date of Completion:

March 31, 2015

CAE Assessment

The CAE supports management's self-assessment and the extension of deadlines in light of the interdependencies with the Procure-to-Payment project.

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Regional Contracting 2011

Recommendation # 10 (IA Ref# 2011-45-10) **Risk Ranking: Medium**

Requirements Definition

It is recommended that the Director General, Administration Directorate, introduce measures that will ensure that work requirements are defined and documented prior to the start of the contracting process.

Management Response and Action Plan

Agreed. The Director General, Administration Directorate, will develop policy instruments outlining how to adequately define and document work requirements. In addition, training will be provided in this area and communiqués will be issued. This element will also be incorporated into the Compliance and Monitoring Program, in that a sampling of contract files will validate the definition of work requirements. Target Date February 2012.

Last Update (September 2012)

Several key components of the action plan were previously completed, as outlined in the March 2012 update. In regards to the two remaining components, the Monitoring and Compliance Program should be staffed and implemented by March 31, 2013, and a policy suite for contracting is scheduled to be presented at Executive Committee on November 14, 2012 for approval and will be issued by December 2012.

LEVEL 4 // Estimated Date of Completion: March 31, 2013

Update:

<input type="checkbox"/> Level 1 (No or insignificant progress)	<input checked="" type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

Current Status as at March 31, 2013 (please provide details on progress against the management action plan):

Further to the September 2012 update, the Monitoring and Compliance Program will be implemented in June 2013 following indeterminate staffing action. The implementation has been delayed due to difficulties and delays in obtaining staffing approvals.

The Contracting policy suite was approved at Executive Committee in November 2012 and was issued December 14, 2012.

Estimated Date of Completion:

June 30, 2013

CAE Assessment

The CAE supports the extension of the deadline in light of system-wide staffing delays stemming from Budget 2012.

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Regional Contracting 2011

Recommendation # 11 (IA Ref# 2011-46-11)	Risk Ranking: High
Procurement It is recommended that the Director General, Administration Directorate, introduce measures to enforce compliance with the issues noted above.	

Management Response and Action Plan Agreed. The Director General, Administration Directorate, will create policy instruments, develop a Compliance and Monitoring Program, and provide training to address compliance issues. The Policy framework for the Compliance and Monitoring Program will contain express provisions on reporting of non-compliance and to enforce compliance with contracting rules on Contract Splitting, Sole Source Contracts and After-the-Fact Contracts. The Compliance and Monitoring Program will consist of an initial review before the contract is awarded for contracts over a predetermined value or for sensitive files, in addition to a post-contract award compliance review based on a target percentage of contracts within predetermined value ranges – for example, up to five percent of contracts valued between \$1,000 and \$10,000 will be subject to annual review. There will be ad hoc targeted reviews based on commodities as determined by the Director of Contracting and Materiel Management. Target Date February 2012. Contracting compliance will be added to the performance agreements of all Direct Reports. Completed. Multi-year procurement vehicles will be developed to meet recurring requirements such as printing, court reporting, transcription and process servers. Target Date February 2012.
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Last Update (September 2012) Further to the March 2012 update, a Request for Standing Offer (RFSOs) for court reporters/transcription in British Columbia is posted and a standing offer should be issued by March 2013. RFSOs for other provinces with significant volume of requirements will follow. A draft RFSO for process servers has been prepared and should be posted for Ontario by January 2013. All the standing offers for process servers, court reporting/transcription should be issued by December 2013. LEVEL 4 // Estimated Date of Completion: December 2013 March 2012 Update: Contracting training was developed and provided in the regions between September and December 2011. (100% complete) Draft policy instruments, Contracting Policy and Guidelines for Managing Services Contracts are prepared. These two documents will be reviewed and approved. Target for approval is September 2012. (75% complete). The Compliance and Monitoring program was developed and piloted in February and March 2012. A staffing process for a Quality Assurance Officer is complete and staffing appointment is required to implement the program. (80% complete) Target date: October 2012 The Contracting and Materiel Management Division has draft solicitation documents for process servers and court reporting and transcription on a regional or provincial basis. These solicitations will be done on a phased basis due to the number of solicitations required and the varying provincial requirements that govern these services. These documents will be finalized and the posting will start in June 2012 with a target date of the fall for the first agreements. All agreements are planned be in place by December 2013. (50% completed)
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Commented [DT3]:
Added this March 2012 update for context during the updating process.

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input checked="" type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OP:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Regional Contracting 2011

Current Status as at March 31, 2013 (please provide details on progress against the management action plan):
<p>The Contracting policy suite was approved at Executive Committee in November 2012 and was issued December 14, 2012. The Guidelines for Managing Services Contracts are currently in consultation and should be promulgated by June 15, 2013.</p> <p>The Monitoring and Compliance Program will be implemented in June 2013 following indeterminate staffing action. The implementation has been delayed due to difficulties and delays in obtaining staffing approvals.</p> <p>Bids have been evaluated for the court reporter / transcription requirements in British Columbia and agreements will be awarded in April 2013. As well, The requests for standing offers (RFSOs) for court reporters/transcription were posted in March for Manitoba, Saskatchewan and Alberta. A RFSO for processes servers in Ontario was also posted.</p> <p>All the standing offers for process servers and for court reporting/transcription should be issued by December 2013.</p>
Estimated Date of Completion:
December 15, 2013
CAE Assessment
The CAE supports the extension of the deadline to December 2013.

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Regional Contracting 2011

Recommendation # 12 (IA Ref# 2011-47-12)	Risk Ranking: Medium
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Solicitation Activities

It is recommended that the Director General, Administration Directorate, establish measures to enforce that contracting files demonstrate that solicitation activities and decisions have been conducted in a transparent manner.

Management Response and Action Plan

Agreed. The Director General, Administration Directorate, will create policy instruments, develop a Compliance and Monitoring Program, and provide training to ensure that contracting files demonstrate that solicitation activities and decisions have been conducted in a transparent manner. The Compliance and Monitoring Program Framework will contain express provisions on enforcement consequences. Target Date February 2012.

Last Update (September 2012)

Further to the March 2012 update, the Monitoring and Compliance Program should be staffed and implemented by March 31, 2013, and a policy suite for contracting is scheduled at Executive Committee for November 14, 2012 for approval and will be issued by December 2012.

LEVEL 4 // Estimated Date of Completion: March 31, 2013

Update:

- | | |
|---|--|
| <input type="checkbox"/> Level 1 (No or Insignificant progress) | <input checked="" type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation) |
| <input type="checkbox"/> Level 2 (Planning Stage: plans created & approved) | <input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented) |
| <input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement) | <input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable) |

Current Status as at March 31, 2013 (please provide details on progress against the management action plan):

Most of the key components were previously completed, as outlined in the September 2012 update.

The Monitoring and Compliance Program will be implemented in June 2013 following indeterminate staffing action. The implementation has been delayed due to difficulties and delays in obtaining staffing approvals.

The Contracting policy suite was approved at Executive Committee in November 2012 and was issued December 14, 2012.

Estimated Date of Completion:

June 30, 2013

CAE Assessment

The CAE supports extending the deadline for this recommendation in light of system-wide staffing delays stemming from Budget 2012.

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Tax Law Services Ottawa 2011

**TAB 15/Onglet 15: Tax Law Services Ottawa Section/Services du droit fiscal section
d'Ottawa**

Summary/Sommaire:

Tab/ Onglet	Audit Name/Nom de la vérification	Audit Date/Date de la vérification	Carry Over MAPs / PAG ouverts	MAPs Closed / PAG fermés
15	Tax Law Services Ottawa Section/ Services du droit fiscal section d'Ottawa	July/Juillet 2011	1	0

[Back to Table of Contents/Retour à la table des matières](#)

Coordinator Name:		Tel#:	
OPI:	Jade Boucher	Tel#:	613-957-1375
Also sent to:	Micheline Van-Erum 613-957-4811		

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Tax Law Services Ottawa 2011

Recommendation # 2 (IA Ref# 2011-62-2)	Risk Ranking: Medium
Human Resource Planning	
It is recommended that the Director, TLS – Ottawa Section ensure that a formal TLS succession plan is developed and updated on a regular basis.	

Management Response and Action Plan
Agreed. The TLS – Ottawa Section will work in close collaboration with the office of the ADAG, TLS Portfolio to develop and implement a national succession plan. Completion date: In conjunction with the regional offices and the TLS – Ottawa Section, the TLS Portfolio will develop a national succession plan by the end of this fiscal year. This plan will be updated on a regular basis.

Last Update (September 2012)
L'analyse des écarts et la préparation du plan de relève national ont été reportées contenu que le plan d'action du Portefeuille visant à mettre en œuvre les réductions budgétaires n'est pas finalisé.
LEVEL 1 // Estimated Date of Completion: March 31, 2012

Update:	
<input checked="checked" type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
Current Status as at March 31, 2013 (please provide details on progress against the management action plan):	
The analysis of the gap and the development of a formal TLS succession plan for each office continue to be delayed. The delay is due to TLS budget reductions and commitments under the Economic Action Plan 2012, with full implementation of the Portfolio initiatives expected by March 31, 2015. During this period, the TLS is continuing to review with the CRA client the various levels of services needed, and all TLS Sections will continue to participate in department-wide reductions in the number of its employees. In addition, the Portfolio has delayed developing its national succession plan in order to be aligned with a new departmental initiative to standardize the succession planning process department-wide. In the interim, the Portfolio will discuss any critical gaps at National Tax Board of Directors meetings and continue to take appropriate actions for TLS Sections on a nationally coordinated basis.	
Estimated Date of Completion: March 31, 2015	

CAE Assessment
The CAE supports extending the deadline in light of the significant changes in the operating environment stemming from Budget 2012.

Coordinator Name:		Tel#:	
OPI:	Jade Boucher	Tel#:	613-957-1375
Also sent to:	Micheline Van-Erum 613-957-4811		

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Acquisition Cards 2012

TAB 16/Onglet 16: Tax Law Services Prairie Region/Services du droit fiscal région des Prairies

Summary/Sommaire:

Tab/ Onglet	Audit Name/Nom de la vérification	Audit Date/Date de la vérification	Carry Over MAPs / PAG ouverts	MAPs Closed / PAG fermés
16	Tax Law Services Prairie Region/ Services du droit fiscal région des Prairie	July/Juillet 2011	1	1

[Back to Table of Contents/Retour à la table des matières](#)

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Acquisition Cards 2012

Recommendation # 3 (IA Ref# 2011-70-3)	Risk Ranking: Low
Administration of Financial Resources	
It is recommended that the Regional Director, TLS – Prairie Region, in conjunction with the Information Management Branch, ensure that administrative assistants are given the capability to view IFMS reports from their workstations.	

Management Response and Action Plan
Agreed. The Director will ensure that administrative assistants are given capability to review IFMS reports from their workstations, along with any necessary training. Completion Date: December 31, 2011.

Last Update (September 2012)
The AS2 in Winnipeg was provided with some training in May in conjunction with the training offered in relation to the Cost Recovery Improvement Project. Both the AS2 and AS1 will be provided with further training in Winnipeg on November 28th.
Due to scheduling conflicts, the training in Edmonton of the AS1 and AS2 had to be rescheduled. Both the AS1 and AS2 will be provided with training on November 27th in Edmonton.
LEVEL 4 // Estimated Date of Completion: November 28, 2012

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input checked="" type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
Current Status as at March 31, 2013 (please provide details on progress against the management action plan):	
The Administrative Assistants have been provided with access to IFMS reports and have received the necessary training.	
Estimated Date of Completion:	
Action Plan item is fully implemented.	
CAE Assessment	
The CAE supports that this recommendation be closed as fully implemented.	

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OP1:	Daniel Schnob	Tel#:	613-948-5117
Also Sent to:			

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Acquisition Cards 2012

TAB 17/Onglet 17: Acquisition Cards/Cartes d'achat

Summary/Sommaire:

Tab/ Onglet	Audit Name/Nom de la vérification	Audit Date/Date de la vérification	Carry Over MAPs / PAG ouverts	MAPs Closed / PAG fermés
17	Acquisition Cards/ Cartes d'achat	Mar 2012	1	0

[Back to Table of Contents/Retour à la table des matières](#)

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Acquisition Cards 2012

Recommendation # 1 (IA Ref# 2012-1-1)	Risk Ranking: Low
Acquisition Card Payment Discounts	
It is recommended that the CFO implement in IFMS the ability to pay the card provider with a single payment.	

Management Response and Action Plan
Agreed. This functionality, which is part of the Federal Government's SAP footprint, is scheduled to be implemented as a part of the Procure-to-Pay re-engineering project. This project is pending approval from the Department's Executive Committee. The project is planned to be done in two phases. The first phase will consist of producing the business blueprint. The second phase will consist of implementing the new functionality in the Integrated Financial and Material System (IFMS) and performing the business transformation required. The second phase is planned to be completed by the end of fiscal year 2013-14.

Last Update (September 2012)
This functionality, which is part of the Federal Government's SAP footprint, continues to be scheduled for implementation as a part of the Procure-to-Payment re-engineering project. The "Procure-to-Payment at Justice Project" was officially launched in November 2012 with an objective to have the business blueprint completed as a first phase. The second phase will consist of implementing the new functionality in IFMS and performing the business transformation required. The second phase is planned to be completed by the end of fiscal year 2013-14. To be noted is that this project is an inherent part of the CFO Branch cost-savings initiative.
LEVEL 2 // Estimated Date of Completion: April 2014

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress) <input type="checkbox"/> Level 2 (Planning Stage: plans created & approved) <input checked="" type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation) <input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented) <input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
Current Status as at March 31, 2013 (please provide details on progress against the management action plan):	
Justice is now a pilot department for the PWGSC IFMS Program Office (IFMS Core) procure to payment solution / footprint for all federal government departments using SAP.	
Justice will be involved in all the steps of the pilot process, including the building, testing, integration, and roll-out steps. This will facilitate a robust knowledge transfer as the departmental subject matter experts (SMEs) will work collaboratively with the IFMS Program Office throughout the pilot process.	
The timeline for the implementation of the procure to payment solution is government wide and is now estimated to be by the end of fiscal year 2014-2015.	
Estimated Date of Completion:	
March 31, 2015	

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPIC:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Acquisition Cards 2012

CAE Assessment
The CAE supports extending the deadline for this recommendation in light of the interdependencies with the Procure-to-Payment project.

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Official Languages 2012

TAB 18/Onglet 18: Official Languages/Vérification des langues officielles

Summary/Sommaire:

Tab/ Onglet	Audit Name/Nom de la vérification	Audit Date/Date de la vérification	Carry Over MAPs / PAG ouverts	MAPs Closed / PAG fermés
18	Official Languages/ Vérification des langues officielles	Mar 2012	3	2

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Coordinator Name:	Jo-Anne Brisebois	Tel#:	(613) 957-4220
OPI:	Joan Pratt	Tel#:	(613) 941-1867
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Official Languages 2012

Recommendation # 1	Risk Ranking: Medium
Roles, Responsibilities and Accountabilities <p>It is recommended that the Director General, Human Resources and Professional Development Directorate undertake additional efforts to communicate the distinctive official languages-related roles, responsibilities and accountabilities of the Corporate Staffing, Official Languages and Recognition Unit in relation to those of the other areas within the Department (i.e. the Office of La Francophonie, Justice in Official Languages and Legal Dualism; and the Official Languages Law Section.)</p>	

Management Response and Action Plan <p>Agreed. The Director General, Human Resources and Professional Development Directorate (HRPDD) agrees to:</p> <ul style="list-style-type: none"> • Offer new employee NCR orientation sessions, which include an OL component to highlight and clarify the roles and responsibilities of the various units • Make further updates to OL site on HR and You ensuring that roles and responsibilities are clearly defined • Work in collaboration with the other units to ensure that their websites provide a link to the OL site contained within HR and You (i.e. cross referencing with the sites from the Office of La Francophonie, Justice in OL and Legal Dualism and the OL Law Section) and that their sites reflect the roles as outlined in the new OL Framework • Develop and disseminate a communiqué to all delegated managers detailing the roles with in the new OL Framework • Raise awareness through ad hoc attendance at Portfolio/Branch/Sector management team meetings • Ensure that OL Champions Network clarify roles within their respective organizations.

Last Update (September 2012) <p>n/a (Update start 6 months after Report is finalized.)</p>
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Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress) <input type="checkbox"/> Level 2 (Planning Stage: plans created & approved) <input type="checkbox"/> Level 3 (Preparing to Implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation) <input checked="" type="checkbox"/> Level 5 (Full Implementation – Structures & processes operating as intended and are fully implemented) <input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

Current Status as at March 31, 2013 (please provide details on progress against the management action plan): <p>All the proposed actions have been implemented as described and within the allocated timeframes detailed in the Management Response table (see attached). Changes to the OL portion of the Department's Intranet site were made in the summer of 2012 to clarify roles and responsibilities. Further updates were made in November, 2012 to align departmental policies with revised TBS policies. These were communicated in JustInfo in March of this year. Awareness continues to be raised through attendance at management team meetings on an ad hoc basis and other methods, e.g. an email sent on June 22, 2012 on official languages requesting that managers in the Management Sector allocate time at an upcoming team meeting to review with their employees a deck on official languages.</p>
Estimated Date of Completion: N/A <p>n/a</p>

Coordinator Name:	Jo-Anne Brisebois	Tel#:	(613) 957-4220
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Also sent to:			

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Official Languages 2012

CAE Assessment
The CAE supports that this recommendation be closed as fully implemented.

Coordinator Name:	Jo-Anne Brisebois	Tel#:	(613) 957-4220
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Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Official Languages 2012

Recommendation # 2	Risk Ranking: Low
Mechanism to Share Issues Internally <p>It is recommended that the Director General, Human Resources and Professional Development Directorate formalize and communicate an internal process to ensure that issues (e.g. number of complaints, trends) arising from complaints received through the Office of the Commissioner of Official Languages, are brought to the attention of the Network of Sectoral and Regional Official Languages Champions.</p>	

Management Response and Action Plan <p>Agreed. The Director General, Human Resources and Professional Development Directorate agrees that there is a need to ensure that official languages issues are effectively addressed internally and that there is a scope for reporting to the OL Sectoral Champions Network globally on issues relating to official languages given the role these champions play in raising awareness of OL in the workplace. The Director General, Human Resources and Professional Development Directorate will accordingly formalize and communicate internal processes to ensure that aggregate information about official languages-related matters, are brought to the attention of the OL Sectoral Champions.</p> <p>Since the conduct of the audit, a new OL Steering Committee has been put in place and serves as a forum to discuss OL issues and trends.</p>
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Last Update (September 2012)
n/a

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress) <input type="checkbox"/> Level 2 (Planning Stage: plans created & approved) <input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation) <input checked="" type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented) <input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
Current Status as at March 31, 2013 (please provide details on progress against the management action plan): <p>Since the audit, the Senior OL Advisor has established and maintains a direct link with the new OL Champion and also with the new Co-Champion who chairs the OL Sectoral Champions Network.</p> <p>At the April 10th meeting the group discussed the committee's mandate as well as the possible creation of a departmental OL Web Portal which would combine, into one site, the revamped Corporate OL Intranet site as well as the sites from the Office of La Francophonie, Justice in OL and Legal Dualism and the OL Law Section. The creation of the Portal may be delayed because of a review and update to the Intranet structure as a whole. Regardless, work on the Portal will continue and structural revisions made as needed.</p>	
Estimated Date of Completion: N/A	

CAE Assessment
The CAE supports closing this recommendation as fully implemented.

Coordinator Name:	Jo-Anne Brisebois	Tel#:	(613) 957-4220
OPI:	Joan Pratt	Tel#:	(613) 941-1867
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MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Official Languages 2012

Recommendation # 3	Risk Ranking: Low
Resources It is recommended that the Director General, Human Resources and Professional Development Directorate formally review the current organizational structure of the Corporate Staffing, Official Languages and Recognition Unit in light of current requirements and expected level of service to ensure that resources have been allocated appropriately.	

Management Response and Action Plan Agreed. The Director General, Human Resources and Professional Development Directorate will review the current organizational structure of the OL unit to ensure that it is adequately resourced and that expected levels of service can be met. Some changes have already been made. The work description for the OL Advisor has been reviewed and is now classified at the AS-5 level rather than PE. This has allowed the Department to have access to a much broader pool of candidates given that the majority of OL coordinators in government are classified in the AS Group. In addition, 50% of another resource is now dedicated to providing support to the OL Advisor and 50% of the Manager position. Further consideration will be given in the context of changes to internal services as appropriate.

Last Update (September 2012) n/a
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Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input checked="" type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

Current Status as at March 31, 2013 (please provide details on progress against the management action plan): Classification of the Senior OL Advisor position to an AS-05 group and level, as referenced above, lead to the appointment of a seasoned OL Advisor. This has led to the effective management of the parts of the OL Program that fall under the HR Directorate's responsibility. Changes to internal services and other factors have made the dedication of resources to support the OL Advisor a challenge.
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Estimated Date of Completion: September, 2013

CAE Assessment The CAE supports the extension of the deadline for this recommendation to September 2013 in light of system-wide staffing delays stemming from the Budget 2012.
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Coordinator Name:	Jo-Anne Brisebois	Tel#:	(613) 957-4220
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**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Legislative Services 2012

TAB 19/Onglet 19: Legislative Services/Vérification des services législatifs

Summary/Sommaire:

Tab/ Onglet	Audit Name/Nom de la vérification	Audit Date/Date de la vérification	Carry Over MAPs / PAG ouverts	MAPs Closed / PAG fermés
19	Legislative Services/ Vérification des services législatifs	Oct 2012	1	0

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Coordinator Name:	Ralph Mercedat	Tel#:	(613) 957-0014
OPI:	Philippe Hallée	Tel#:	(613) 941-4178
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH.

Audit Name: Legislative Services 2012

Recommendation # 1	Risk Ranking: Low
Resource Utilization It is recommended that the Chief Legislative Counsel, Legislative Services Branch (LSB) introduce a formalized process for resource planning and monitoring on a project basis.	

Management Response and Action Plan Agreed. The Chief Legislative Counsel, LSB will review and analyze past complex legislative projects in order to integrate and develop project management principles that are sensitive to the operational demands of the Branch. The Chief Legislative Counsel, LSB will then introduce a more formalized process for allocating and monitoring resources that reflects the particular context of the Branch. Targeted Completion Date: March 31st, 2013.
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Last Update (September 2012)
n/a

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input checked="" type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

Current Status as at March 31, 2013 (please provide details on progress against the management action plan): We have hired a consulting firm to review and analyze past legislative files. The consulting firm conducted interviews of all the key personnel involved in the drafting process to understand the current practices in legislative projects. They found that LSB is only one player in a broader legislative development process, and that external issues have a major influence on the ability of LSB to deliver on project objectives. Based on these interviews and the examination of our existing practices, they developed principles for project management, tailored for legislative projects. Although they recognized that many of these principles were already practiced at LSB, they felt that there were opportunities for standardizing and improving our project management tools. The consulting firm provided a detailed description of the characteristics of the project management tools that LSB could implement within legislative projects. In the upcoming months, LSB will continue to work with the consulting firm to improve our existing project management tools and create new ones. Once the tools have been fully developed, we will run pilot projects to test them. At the conclusion of the pilot period, we will review and assess them, and then seek to apply them more broadly.
Estimated Date of Completion: March 31, 2014

Coordinator Name:	Ralph Mercedat	Tel#:	(613) 957-0014
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**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Legislative Services 2012

CAE Assessment

The CAE supports management's self-assessment, noting that the auditee requested to participate in the MAP follow-up process even though it had only been five months since the audit was completed.

Coordinator Name:	Ralph Mercedat	Tel#:	(613) 957-0014
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**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: REPORT OF THE AUDITOR GENERAL OF CANADA 2007

TAB 20/Onglet 20: OAG/BVG

Summary/Sommaire:

Tab/ Onglet	Audit Name/Nom de la vérification	Audit Date/Date de la vérification	Carry Over MAPs / PAG ouverts	MAPs Closed / PAG fermés
20	OAG/ BVG	2007	3	2

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Coordinator Name:	Jo-Anne Brisebois	Tel#:	(613) 957-4220
OPI:	Patrick Vézina / C. Quinn (5.93)	Tel#:	(613) 957-4670
Also sent to:	Jodi Bromley (5.93)		

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: REPORT OF THE AUDITOR GENERAL OF CANADA 2007

OAG Audit Recommendation # 5.25	Risk Ranking:
Report 2007-05 – Chapter 5	
Managing the Delivery of Legal Services to Government – Department of Justice Canada	
In addition to its current management of alternative dispute resolution initiatives, Justice Canada should ensure that it clearly defines each initiative's objectives, estimates the potential cost savings and formally reviews the outcome of initiatives against their objectives	

Management Response and Action Plan
The Department agrees with the Auditor General's recommendation, which is consistent with the recent review of the Department's dispute resolution initiative that has resulted in a new mandate focused on providing services to departments supporting long-term prevention and early resolution of disputes. These client-focused services include systems design, legal advisory support, and training, all of which are linked to the departmental priorities of improving practice management and managing the volume of litigation.

Last Update (June 2012)
<p>2. Development of Performance Measurement Tools for Dispute Resolution Initiatives</p> <p>In 2011-2012, the Department of Justice continued to advance its multi-year project aimed at developing performance measurement tools for DR initiatives.</p> <p>A draft Performance Measurement Framework (PMF) was developed in June 2011. The PMF contains a number of elements aimed at ensuring that Justice has systems in place for regular reporting on DR, ongoing and methodologically sound analysis of the value of DR, and information to support operational decision-making on DR in the management of the litigation inventory. In addition, the framework aims to ensure that client departments will have support and advice from Justice in the use of performance measurement in their own DR programs and initiatives.</p> <p>The following key elements of the PMF were developed in fiscal year 2011-2012:</p> <ul style="list-style-type: none"> • A preliminary methodology for quantifying and understanding the impact of various DR mechanisms; • Tools to capture the impact of training and knowledge transfer; and • A draft Guide to Performance Measurement in DR initiatives. (The Guide will be finalized and launched in 2012-2013.) <p>Several different initiatives are underway to support the development of a DPR performance management regime.</p> <p>At the request of AMREC, timelines and deliverables were re-examined with the objective of accelerating the work to respond to the Auditor General's specific recommendation. A new work plan is being developed for approval by the end of July. Consideration on future priorities will be re-examined in the context of the Economic Action Plan 2012.</p> <p>Assessment Level: Level 3 - Preparations for implementation</p>

Update:
<div> <input type="checkbox"/> Level 1 (No or insignificant progress) </div> <div> <input type="checkbox"/> Level 2 (Planning Stage: plans created & approved) </div> <div> <input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement) </div> <div> <input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation) </div> <div> <input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented) </div> <div> <input checked="" type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable) </div>

Coordinator Name:	Jo-Anne Brisebois	Tel#:	(613) 957-4220
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**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: REPORT OF THE AUDITOR GENERAL OF CANADA 2007

Current Status as at March 31, 2013 (please provide details on progress against the management action plan):
<p>At the time of the OAG audit, files examined by the OAG related to dispute resolution initiatives in which the Department supported client departments in designing and launching "pilot" projects whereby the client departments and agencies could develop practices and processes for ensuring that they were able to incorporate due consideration of dispute prevention and resolution into their policy and program development and delivery activities. In its review of Justice Canada files, the OAG found that the dispute resolution projects lacked clear objectives, and that there was a need to estimate potential cost savings and to review the outcome of the dispute prevention and resolution initiatives against clearly stated project objectives. (Note that some of the files examined by the OAG related to "pilot" projects funded by the Department of Justice through the Dispute Resolution Fund which was terminated in 2002-03.)</p> <p>However, in fiscal year 2012-13, as part of a series of internal budget compression measures, the Department ceased funding dispute resolution projects of this nature and redeployed resources to other departmental priorities. Consequently, the recommendation is deemed to be obsolete. Nevertheless, Department of Justice legal counsel continue to support client departments and agencies by providing legal advice where dispute resolution is a potential option for resolution of both legal advisory and litigation matters.</p>
Estimated Date of Completion:

CAE Assessment
<p>The CAE supports the closure of this recommendation as obsolete given the cessation of Departmental funding for client led dispute resolution initiatives / projects.</p>

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MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: REPORT OF THE AUDITOR GENERAL OF CANADA 2007

OAG Audit Recommendation # 5.62	Risk Ranking:
Report 2007-05 – Chapter 5	
Managing the Delivery of Legal Services to Government – Department of Justice Canada	
Justice Canada should develop a quality management system or systems for each of its practices to provide senior management with ongoing and reliable assurance that all services meet established minimum quality standard.	

Management Response and Action Plan
The Department agrees with the Auditor General's recommendation and will build on the elements of its quality work recognized by the Office of the Auditor General with a view to having a sound quality management approach.

Last Update (June 2012)
<p>1. Quality Assurance Framework (QAF)</p> <p>The Department's QAF initiative encompasses three parts, each composed of unique underlying pillars:</p> <ul style="list-style-type: none"> Part 1 provides contextual information (e.g., the types of legal services delivered, and the Department's service delivery structure and roles and responsibilities) and a definition of "quality" legal services and related quality service standards; Part 2 provides a detailed inventory of quality assurance tools and processes currently in place across the Department to meet the quality service standards; and Part 3 will identify quality assurance indicators and will establish an appropriate governance strategy (including functional authority, reporting and continuous improvement), communications plan and implementation plan. <p>Revisions to the QAF were made pursuant to a comprehensive research paper prepared in 2011 that provided globally accepted definitions and practices from the International Organization for Standards (ISO) and precedents from international, federal, provincial and other government institutions, non-government organizations and legal services providers. Findings from this research paper and further feedback from members of the Justice Quality Assurance Working Group and other internal stakeholders were reflected in revisions to the format and content of Parts 1 and 2 of the QAF and informed work underway on Part 3. (The Working Group has had six meetings so far.)</p> <p>Recommendations regarding the underlying pillars of the QAF will be considered by senior management in summer 2012. The complete QAF is expected to be presented to senior management by the end of 2012. Roll-out of the QAF is expected to commence in early 2013.</p> <p>Assessment 2102: Level 3 - Preparations for implementation</p>

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input checked="" type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to Implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
Current Status as at March 31, 2013 (please provide details on progress against the management action plan):	
The Department's QAF initiative was developed as recommended by the OAG and approved by the Executive Committee in March 2013. It includes: a definition for quality legal services; quality standards; existing processes and tools; and, indicators and monitoring mechanisms. A communications plan is underway to launch the QAF. The first report on the QAF is expected during the Fall 2014.	

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**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: REPORT OF THE AUDITOR GENERAL OF CANADA 2007

Estimated Date of Completion:

CAE Assessment
The CAE supports the management self-assessment at Level 4.

Coordinator Name:	Jo-Anne Brisebois	Tel#:	(613) 957-4220
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MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: REPORT OF THE AUDITOR GENERAL OF CANADA 2007

OAG Audit Recommendation # 5.93	Risk Ranking:
Report 2007-05 – Chapter 5	
Managing the Delivery of Legal Services to Government – Department of Justice Canada	
Justice Canada should make improvements to its resource management. The Department should:	
<ul style="list-style-type: none"> - use management information on workload volumes and costs for all of its legal services to better monitor trends, plan, set priorities, manage resources, analyze service delivery options, and identify opportunities for controlling costs; - work with client departments to effectively plan, manage, and improve the cost-effectiveness of their financial arrangements with a view to managing demand for legal services and thereby reducing costs; and - ensure that a senior manager with the necessary authority leads the improvement of management practices at the Department and oversees implementation of these changes. 	

Management Response and Action Plan
The Department agrees with the Auditor General's recommendation. The Department of Justice Canada will continue the work underway to develop approaches to further develop its capacity to use management information to enhance management decisions, and regularize its cost recovery agreements with government departments.
The Department is currently working on putting in place an initiative to better coordinate and integrates its law management practices. The Department will, at the same time, review its management practices to identify and put in place corporate reports to provide management information to support departmental decision making. Senior management authority to lead our work on management practices will be strengthened.

Last Update (June 2012)
Justice's legal case management application (iCase) and Echo (a companion reporting tool that complements the reporting capabilities of iCase) continue to be used to support corporate reporting needs and to assist Justice managers and client departments in effectively planning, setting priorities, managing resources and managing the demand for legal services. A variety of initiatives have been piloted using Echo to generate standard information on the volume of files, workload effort (hours), and levels of legal risk and complexity, and to respond to specific management information requirements. Documentation on the use of Echo has been developed.
The results of the Echo pilots were used to design legal services management dashboards. These dashboards provide case management information to support the planning and management of resources and management of the demand for legal services. The dashboards were well received by senior management. Documentation on the use of the dashboards is being developed and preparations for deployment are underway.
As part of a series of changes being introduced to improve cost recovery practices, the Department implemented a more standard approach to the development of cost recovery forecasts for individual client organizations. To support these efforts, Echo was used to generate historical information on level of effort and file inventory data for client organizations. This information supports planning and forecasting for the provision of legal services and is now available directly through the legal services management dashboards.
Justice also implemented an improved interface that defines and provides easy access to the suite of iCase reports available to support the management of legal services.
Justice is also participating in an initiative led by the Chief Information Officer Branch of the Treasury Board Secretariat aimed at selecting case management software to support the business requirements of departments and agencies across the Government of Canada.
Business process models (BPMs) outlining activities related to the management and delivery of legal services continue to be used to support managers and iCase users in identifying business requirements and managing resources.
In order to better integrate managers across the Department in the decision-making and information-sharing processes, Justice introduced changes that streamlined its overall governance structure. The former Law Practice Management Committee and other departmental committees that dealt with management and financial issues have now been consolidated into one entity. The Law Practice Management Directorate within the Management Sector now makes recommendations to senior management through the Department's new governance structure and continues to work in collaboration with various working groups and advisory committees to advance key initiatives related to the management of the practice of law.
Assessment Level: Level 4 – Substantial implementation

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MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: REPORT OF THE AUDITOR GENERAL OF CANADA 2007

Current Status as at March 31, 2013:

<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input checked="" type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

Since the 2007 OAG Audit on Managing the Delivery of Legal Services to Government, Justice Canada has notably improved its resource management practices.

- An enhanced suite of tools, processes and standards are enabling the Department to:
 - use management information on workload volumes and costs to better monitor trends, plan, set priorities, manage resources, analyze service delivery options and identify opportunities for controlling legal services costs; and
 - work with client organizations to effectively plan, manage, and improve the cost effectiveness of legal services.
- In 2009-2010, Justice introduced standard templates for Memoranda of Understanding (MOU) with client organizations for the provision of legal services. MOUs support transparent and accountable resource management and enable departments and agencies to effectively plan, monitor and manage their demand for legal services. In August 2012, following the introduction of new business standards related to cost recovery, the Department updated the MOU templates. In January 2013, the Department also updated a key supporting guidance documents that promotes quality and consistency in the development and implementation of MOUs (i.e., the *Accountability Framework for MOUs Related to the Provision of Legal Services*) to reflect the new business standards, roles, responsibilities and processes for cost recovery, and to highlight the importance of joint planning discussions. The Department also developed a revised template for the Planning and Forecasting Annex (entitled Annex B) of the MOU for implementation in 2013-14. The new Annex B template includes an attestation statement to be signed by both the Justice and client Contacts for the Management the MOU confirming that the forecast presented in the MOU reflects the results of joint planning discussions between Justice and the client organization, including consideration of options for controlling legal services costs.
- The development of forecasting tools and enhanced reporting capabilities on the cost of legal services implemented through the Cost Recovery Process Improvement Project, have strengthened the collective ability of Justice and its client organizations to make informed decisions about legal services requirements and associated costs.
- Justice's legal case management application (iCase) and Echo (a companion reporting tool that complements the reporting capabilities of iCase) continue to be used to support corporate reporting needs and to assist Justice managers and client departments in effectively planning, setting priorities, managing resources and managing the demand for legal services. For the past two years, the Department used Echo to generate historical information on level of effort and file inventory data that, together with historical information on cost recoveries, supported joint planning discussions between Justice and client organizations. In 2012-2013, information derived from Echo (and other sources) also provided key input to the development of efficiency measures that focus on managing the demand and cost of legal services and will support the Department in meeting commitments set out in the Government's 2012 Economic Action Plan. Access to Echo was extended and is now being used by financial and business analysts across the Department.
- In December 2012, the Department also commenced a phased implementation of a Legal Services Management Dashboard. The dashboard provides managers with quick and easy access to key legal case management information to support decision making right from their desktop. The various reports presented in the Dashboard help managers to: identify and assess trends; plan, monitor and report on key business activities; manage resources and continuously improve their operations by highlighting areas that may warrant further attention; engage in joint planning discussions with client organizations; and identify options for controlling legal services costs. Guidance material is available to support users in navigating through the various dashboard reports and interpreting information contained therein. In November 2012, an Advisory Committee was established to guide future enhancements to the information presented in the dashboard with a view to expanding the dashboard to include information from other domains (e.g., HR, Finance).
- Business process models developed in 2010-2011, outlining activities related to the management and delivery of legal services are available to support managers and business analysts in identifying business requirements and opportunities for process improvements.

Coordinator Name:	Jo-Anne Brisebois	Tel#:	(613) 957-4220
OPI:	Patrick Vézina / C. Quinn (5.93)	Tel#:	(613) 957-4670
Also sent to:	Jodi Bromley (5.93)		

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: REPORT OF THE AUDITOR GENERAL OF CANADA 2007

- Consistent and well-documented business processes, tools and standards are in place to facilitate client engagement, enhance transparency and accountability and help ensure a uniform approach to managing and reporting on the provision of legal services. In 2012-2013, Justice compiled an evergreen list of relevant business processes, tools and standards currently available to support informed decision making by client organizations about their legal services requirements and associated costs, including: guidance material, business standards and related communications developed as part of the Cost Recovery Process Improvement (CRPI) Project; the Budget Management Framework i.e., a formal document that provides context, standards and directions for budget management activities within Justice; a communications strategy and material related to announcements on the legal services rates; Treasury Board (TB) submission protocols (including the Week Ahead Report which lists all client led TB subs); and templates and guidance material related to MOUs for the provision of legal services. The list will be updated as additional processes, tools and standards are introduced in support of continuous improvement.

The Department established the Management Sector in August 2007 and assigned responsibility for implementing the changes recommended by the OAG with respect to law practice management to the ADM, Management Sector. In May 2012, with much of the work in relation to the 2007 OAG Audit completed, some of the work done in the Law Practice Management Directorate (LPMD) within the Management Sector was realigned with other units in the Department and other Divisions within the Sector. The resultant organization, while smaller, continues to provide essential services in relation to our national law practice. The Management Sector makes recommendations to senior management through the Department's governance structure and continues to work in collaboration with various working groups and advisory committees to advance key initiatives related to the management of the practice of law.

Estimated Date of Completion: Completed

CAE Assessment

The CAE supports that this recommendation be closed as fully implemented.

Coordinator Name:	Jo-Anne Brisebois	Tel#:	(613) 957-4220
OP:	Patrick Vézina / C. Quinn (5.93)	Tel#:	(613) 957-4670
Also sent to:	Jodi Bromley (5.93)		

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: 2011 JUNE STATUS REPORT OF THE AUDITOR GENERAL OF CANADA

TAB 21/Onglet 21: OAG June 2011 Status Update/BVG Mise à jour, juin 2011

Summary/Sommaire:

Tab/ Onglet	Audit Name/Nom de la vérification	Audit Date/Date de la vérification	Carry Over MAPs / PAG ouverts	MAPs Closed / PAG fermés
21	OAG June 2011 Status Update/ BVG Mise à jour, juin 2011	2011	1	1

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Coordinator Name:	Rahima Kanani	Tel#:	(613) 952-5799
OP:	Cheryl Driscoll	Tel#:	(613) 948-1977
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: 2011 JUNE STATUS REPORT OF THE AUDITOR GENERAL OF CANADA

OAG Audit Recommendation # 3.80	Risk Ranking:
Report 2011-06 Chapter 3	
Internal Audit	
Departments that have not had an external quality assessment should have an assessment conducted as required by the International Standards for the Professional Practice of Internal Auditing and the Treasury Board Policy on Internal Audit.	

Management Response and Action Plan
Agreed. The Department of Justice is planning to conduct an external quality assessment during the 2011-12 fiscal year.

Last Update (June 2012)
Justice Canada's external quality assessment is currently in process. The results of this assessment will be presented to the Departmental Audit Committee at the first DAC meeting in the new fiscal year.
Assessment Level: Level 3 - Preparations for implementation

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input checked="" type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

Current Status as at March 31, 2013 (please provide details on progress against the management action plan):
Practice Inspection completed July 2012. The Practice Inspection report was presented to DAC in July 2012.

Estimated Date of Completion:

DAC Assessment

Coordinator Name:	Rahima Kanani	Tel#:	(613) 952-5799
OPI:	Cheryl Driscoll	Tel#:	(613) 948-1977
Also sent to:			

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: 2011 JUNE STATUS REPORT OF THE AUDITOR GENERAL OF CANADA

Coordinator Name:	Rahima Kanani	Tel#:	(613) 952-5799
OPT:	Cheryl Driscoll	Tel#:	(613) 948-1977
Also sent to:			

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

**Audit: Expenditure Controls
Office of the Comptroller General of Canada 2009**

TAB 22/Onglet 22: OCG – Expenditure Control/BCG – Contrôle des dépenses

Summary/Sommaire:

Tab/ Onglet	Audit Name/Nom de la vérification	Audit Date/Date de la vérification	Carry Over MAPs / PAG ouverts	MAPs Closed / PAG fermés
22	OCG – Expenditure Control/ BCG – Contrôle des dépenses	2009	2	0

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Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit: Expenditure Controls
Office of the Comptroller General of Canada 2009

OCG Audit Recommendation 2	Risk Ranking:
Expenditure Controls 2. LDAs should ensure that there is adequate management representation in their governance process that determines or defines risk identification and policies and procedures related to risk based account verification. This representation should come from management with functional responsibility over account verification, management with awareness of pertinent risks to the operations, and those with appropriate decision making authority.	

Management Response and Action Plan
<p>A plan to engage the appropriate levels of management in analyzing risks related to account verification will be established and brought to the attention of senior management by March 2010.</p> <p>This will be followed by a consultative process with regional finance and business managers, and functional managers. The risk areas identified through this process will be formally documented by fall 2010.</p> <p>Subsequently, any necessary modifications to the policies and procedures related to the account verification of specific types of transactions will be considered, further to the results of the risk areas identified.</p> <p>As well, on a periodic basis, risk areas will be reassessed with representation from the appropriate levels of management. (September 2009)</p>

Last Update
<p>Updates for this recommendation were being tracked only by the CFO Branch prior to the March 2013 update. The following updates are on file for this audit recommendation.</p> <p>Sept 2010: A RFP has been prepared and a consultant will be hired to undertake this project. This will be a 3 year project and is expected to be completed during 2012-2013.</p> <p>March 2011: CFOB posted the RFP for this project in January. One bid was received, but unfortunately the bidder was not meeting the mandatory requirements. The RFP was posted a second time in February and the bids are closing March 2, 2011. Also, of note, COFB has sent a request for funding through the spring reserve. The plan is still to get a contractor in before April 1st to get this project started.</p> <p>March 2012: The High Risk Transaction Project has been in effect since May 2011 and it's well on its way. At the moment, the salary and non-salary risk framework is almost complete.</p> <p>Sept 2012: As per the updates provided for internal audit (e.g. ORO-Finance and Administration internal audit recommendation #12), the high risk transactions project is still on track for completion at the end of 12/13.</p>

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

**Audit: Expenditure Controls
Office of the Comptroller General of Canada 2009**

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input checked="" type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
Current Status as at March 31, 2013 (please provide details on progress against the management action plan):	
<p>The High Risk Transactions project has been delayed due to several major factors, such as Budget 2012 and modernization. This project is now considered to be part of the Procure to Payment (P2P) project, as the IFMS Gating Solution for high risk transactions is now an integral part of the IFMS (SAP) P2P solution / blueprint.</p> <p>In regards to P2P, Justice is now a pilot department for the TBS IFMS Program Office (IFMS Core) P2P solution / footprint for all federal government departments using SAP. The timeline for the implementation of the P2P solution is government wide and is now estimated to be by the end of fiscal year 2014-2015.</p>	
Estimated Date of Completion:	
March 31, 2015	
CAE Assessment	
The CAE supports the management self-assessment, noting the anticipated delays stemming from Budget 2012 and the interdependencies with the Procure-to-Payment project.	

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

**Audit: Expenditure Controls
Office of the Comptroller General of Canada 2009**

OCG Audit Recommendation 6	Risk Ranking:
Expenditure Controls 6. LDAs need to develop rigorous sampling plans to monitor the verification process of low risk payments. These should be national in scope and allow for the collection of results indicating systemic errors, best practices, and monitoring of appropriate risk identification.	

Management Response and Action Plan
<p>In 2006-07, a Quality Assurance group was set-up to monitor the effectiveness of the verification process of low and high risk payments on a national sample basis. The first objective in the plan was to satisfy two internal audit reports on travel and hospitality. Reports were provided at the regional and national levels which identified error rates along with corrective action plans.</p> <p>The next objective is to expand the verification sampling process to the remaining low risk payments. However, the Department has recognized that the introduction of a formalized and uniform sampling plan that can be applied department-wide for low risk payments will require a significant level of development effort and system modifications, particularly if the sampling is to be done effectively and efficiently. As an upgrade to the Department's IFMS (accounting system) is planned over the next 2 to 3 years, we will use this opportunity to review our verification business processes, and introduce a consistent systems-based sampling methodology and monitoring plan.</p> <p>(September 2009)</p>

Last Update
<p>Updates for this recommendation were being tracked only by the CFO Branch prior to the March 2013 update. The following updates are on file for this audit recommendation.</p> <p>Sept 2010: A RFP has been prepared and a consultant will be hired to undertake this project. This will be a 3 year project and is expected to be completed during 2012-2013.</p> <p>March 2011: CFOB posted the RFP for this project in January. One bid was received, but unfortunately the bidder was not meeting the mandatory requirements. The RFP was posted a second time in February and the bids are closing March 2, 2011. Also, of note, COFB has sent a request for funding through the spring reserve. The plan is still to get a contractor in before April 1st to get this project started.</p> <p>March 2012: The High Risk Transaction Project has been in effect since May 2011 and it's well on its way. At the moment, the salary and non-salary risk framework is almost complete. . A statistical sampling plan will be developed with this project</p> <p>Sept 2012: As per the updates provided for internal audit (e.g. ORO-Finance and Administration internal audit recommendation #12), the high risk transactions project is still on track for completion at the end of 12/13.</p>

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OPI:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit: Expenditure Controls
Office of the Comptroller General of Canada 2009

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input checked="" type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
Current Status as at March 31, 2013 (please provide details on progress against the management action plan):	
<p>The High Risk Transactions project has been delayed due to several major factors, such as Budget 2012 and modernization. This project is now considered to be part of the Procure to Payment (P2P) project, as the IFMS Gating Solution for high risk transactions is now an integral part of the IFMS (SAP) P2P solution / blueprint.</p> <p>In regards to P2P, Justice is now a pilot department for the TBS IFMS Program Office (IFMS Core) P2P solution / footprint for all federal government departments using SAP. The timeline for the implementation of the P2P solution is government wide and is now estimated to be by the end of fiscal year 2014-2015.</p>	
Estimated Date of Completion:	
March 31, 2015	
CAE Assessment	
The CAE supports the management self-assessment, noting the anticipated delays stemming from Budget 2012 and the interdependencies with the Procure-to-Payment project.	

Coordinator Name:	Carla Sanipelli	Tel#:	613-941-7343
OP:	Daniel Schnob	Tel#:	613-948-5117
Also sent to:			

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

**Audit Name: Horizontal Internal Audit of Compliance with the *Common Services Policy*
Office of the Comptroller General of Canada 2011**

TAB 23/Onglet 23: OCG Audit/Vérification BCG

Summary/Sommaire:

Tab/ Onglet	Audit Name/Nom de la vérification	Audit Date/Date de la vérification	Carry Over MAPs / PAG ouverts	MAPs Closed / PAG fermés
23	OCG/BCG	2011	1	0

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Coordinator Name:	Jo-Anne Brisebois	Tel#:	(613) 957-4220
OP's	Chantal Quinn	Tel#:	(613) 946-4344
Also sent to:	Paul Wheatley (Action Plan II Jodi Bromley; Barbara Ritzen; Daniel Schnob /Carla Sanipelli (#2 a,c,e)		

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

**Audit Name: Horizontal Internal Audit of Compliance with the *Common Services Policy*
Office of the Comptroller General of Canada 2011**

OCG Audit Recommendation (Planned Action X)	Risk Ranking: Medium
Evaluation of Legal Services Common Services Organizations (CSO's) should develop practices to measure cost-effectiveness and report on this information to key stakeholders.	

Management Response and Action Plan
The Department of Justice accepts this recommendation. The Department of Justice Evaluation Plan 2011-12 to 2015-16 includes coverage of the legal services to government program identified in the Program Alignment Architecture (PAA).

Last Update (March 21, 2012)
Ongoing and planned evaluations of legal services measure economy and efficiency of the delivery legal services. 1) Tax Law Services (April 2013) 2) Public Law (Expected Approval in May 2013) 3) Legislative Services (Ongoing, expected completion May 2013) 4) Aboriginal Affairs Portfolio (Project initiated; anticipated completion in March 2014) 5) Litigation (Ongoing, expected completion June 2014) 6) PSDI Portfolio (Ongoing, expected completion December 2014) 7) Business and Regulatory Law Portfolio (Ongoing, expected completion September 2015) 8) Central Agencies Portfolio (Ongoing, expected completion March 2016)

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input checked="" type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

Current Status as at March 31, 2013 (please provide details on progress against the management action plan):
The evaluation methodology has been developed and evaluations are underway in accordance with the timelines indicated below. The evaluation of legal services is now part of the ongoing evaluation plan for the Department. The Management Sector considers this recommendation addressed and ongoing. Ongoing and planned evaluations of legal services measure economy and efficiency of the delivery legal services. 1) Tax Law Services (April 2013) 2) Public Law (June 2013) 3) Legislative Services (June 2013) 4) Aboriginal Affairs Portfolio (Project initiated; anticipated completion in March 2014) 5) Litigation (Planning completed; expected completion December 2014) 6) PSDI Portfolio (Planning completed; expected completion December 2014) 7) Business and Regulatory Law Portfolio (Planning completed; expected completion September 2015) 8) Central Agencies Portfolio (Planning nearly completed; expected completion March 2016)

Coordinator Name:	Jo-Anne Brisebois	Tel#:	(613) 957-4220
OPI:	Chantal Quinn	Tel#:	(613) 946-4344
Also sent to:	Paul Wheatley (613) 954-2260		

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

Audit Name: Horizontal Internal Audit of Compliance with the *Common Services Policy*
Office of the Comptroller General of Canada 2011

Estimated Date of Completion: First cycle of evaluations to be completed by March 2016

CAE Assessment

Management has formulated a series of measures and actions in response to the one OCG recommendation - to measure cost-effectiveness and report the information to key stakeholders. The CAE will assess the overall status of the Management Action Plan once all elements of the MAP have been fully implemented.

Coordinator Name:	Jo-Anne Brisebois	Tel#:	(613) 957-4220
OPI:	Chantal Quinn	Tel#:	(613) 946-4344
Also sent to:	Paul Wheatley (613) 954-2260		

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Horizontal Internal Audit of Compliance with the *Common Services Policy*
Office of the Comptroller General of Canada 2011

OCG Audit Recommendation	Risk Ranking: Medium
Common Services Organizations (CSO's) should develop practices to measure cost-effectiveness and report on this information to key stakeholders	

Management Response
The Department of Justice accepts this recommendation.

Planned Action
II Identification of cost effectiveness measures and processes for reporting a) Implement business processes, tools and standards to support informed decision making by client organizations about their legal services requirements and associated costs

Status as at March 31, 2013:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input checked="" type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
<p>Consistent and well-documented business processes, tools and standards facilitate client engagement, enhance transparency and accountability and help ensure a uniform approach to managing and reporting on the provision of legal services.</p> <p>Justice has developed an evergreen list of relevant business processes, tools and standards currently available to support informed decision making by client organizations about their legal services requirements and associated costs, including: guidance material, business standards and related communications developed as part of the Cost Recovery Process Improvement (CRPI) Project; the <i>Budget Management Framework</i> i.e., a formal document that provides context, standards and directions for budget management activities within Justice; a communications strategy and material related to announcements on the legal services rates; TB submission protocols (including the Week Ahead Report which lists all client led TB subs); and templates and guidance material related to MOUs for the provision of legal services, including an updated <i>Accountability Framework for Memoranda of Understanding Related to the Provision of Legal Services</i>.</p> <p>The list will be updated as additional processes, tools and standards are introduced in support of continuous improvement, including the development of an overarching <i>Net Vote Revenue Framework</i> encompassing a policy, directives and guidelines as well as standard practices and tools that would enable better planning and monitoring of the costs of processing, reviewing and presenting documentary evidence in litigation.</p>	
Estimated Date of Completion: Completed	

CAE Assessment
Management has formulated a series of measures and actions in response to the one OCG recommendation - to measure cost-effectiveness and report the information to key stakeholders. The CAE will assess the overall status of the Management Action Plan once all elements of the MAP have been fully implemented.

Coordinator Name:	Jo-Anne Brisebois	Tel#:	(613) 957-4220
COPI:	Chantal Quinn	Tel#:	(613) 946-4344
Also sent to:	Cc: Jodi Bromley; Barbara Ritzen; Daniel Schnob /Carla Sanipelli (Recs #2 a,c,e)		

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

Audit Name: Horizontal Internal Audit of Compliance with the *Common Services Policy*
Office of the Comptroller General of Canada 2011

Planned Action	Risk Ranking: Medium
II b) Develop a list of best practices that would contribute to cost savings for consideration by Justice managers and discussion with client organizations	

Status as at March 31, 2013:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input checked="" type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
<p>Developed a list of best practices with clear linkages to cost effectiveness. In March 2013, the list was shared on the Senior Level Executive sharepoint site for the information of managers. It will serve as a guidance document for managers to inform discussions with their client departments on options for better managing the demand and costs of legal services. Many of the items set out in this list align with efficiency measures identified as part of the Process Optimization commitment under the Modernization Strategy. It is understood that the list will evolve as the Department works through the implementation of the Process Optimization measures and if new measures are identified, they will be added.</p>	
Estimated Date of Completion: Completed	

CAE Assessment
Management has formulated a series of measures and actions in response to the one OCG recommendation - to measure cost-effectiveness and report the information to key stakeholders. The CAE will assess the overall status of the Management Action Plan once all elements of the MAP have been fully implemented.

Coordinator Name:	Jo-Anne Brisebois	Tel#:	(613) 957-4220
OPT:	Chantal Quinn	Tel#:	(613) 946-4344
Also sent to:	Cc: Jodi Bromley; Barbara Ritzen; Daniel Schnob /Carla Sanipelli (#2 a,c,e)		

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

**Audit Name: Horizontal Internal Audit of Compliance with the *Common Services Policy*
Office of the Comptroller General of Canada 2011**

Planned Action	Risk Ranking: Medium
II c) Formalize the practice of documenting the identification and consideration of options available to client organizations for controlling their legal services costs	

Status as at March 31, 2013:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input checked="" type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
<p>Strengthened guidance provided in the Integrated Business Planning process and the <i>Accountability Framework for MOUs Related to the Provision of Legal Services</i> regarding factors to consider and the overall approach for joint planning discussions with clients.</p> <p>Integrated revenue forecasting for individual client organizations into the Department's Integrated Business Planning process. Revenue forecasts are updated quarterly throughout the year.</p> <p>Introduced a revised template for the Planning and Forecasting Annex (entitled Annex B) of the MOU template to include the following attestation statement to be signed by both the Justice and client Contacts for the Management the MOU: "The total forecast presented above reflects the results of joint planning discussions between Justice and [client organization], including consideration of options for controlling legal services costs."</p>	
Estimated Date of Completion: Completed	

CAE Assessment
Management has formulated a series of measures and actions in response to the one OCG recommendation - to measure cost-effectiveness and report the information to key stakeholders. The CAE will assess the overall status of the Management Action Plan once all elements of the MAP have been fully implemented.

Coordinator Name:	Jo-Anne Brisebois	Tel#:	(613) 957-4220
OP:	Chantal Quinn	Tel#:	(613) 946-4344
Also sent to:	Cc: Jodi Bromley; Barbara Ritzen; Daniel Schnob /Carla Sanipelli (#2 a,c,e)		

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

**Audit Name: Horizontal Internal Audit of Compliance with the *Common Services Policy*
Office of the Comptroller General of Canada 2011**

Planned Action	Risk Ranking: Medium
II d) Through the Client Feedback Survey, measure and report on client satisfaction with the extent to which they have been provided with options for controlling their legal services costs	

Status as at March 31, 2013:

<input type="checkbox"/> Level 1 (No or insignificant progress)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input checked="" type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full Implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

As part of the Client Feedback Survey Review, completed consultations with heads of Portfolios and specialized legal services offices regarding the inclusion of the proposed question related to controlling the cost of legal services in January 2013.

The proposed question was tested with client department focus groups in early March.

A recommendation on the inclusion of the proposed question in the Client Feedback Survey will be presented to Senior Management in May/June 2013 for decision.

Estimated Date of Completion: Implementation scheduled for September 2013*

** On track with initial estimated completion date reported to DAC in July 2012 i.e., "Implement in 2013-2014 – first year of the next 3 year survey cycle".*

CAE Assessment

Management has formulated a series of measures and actions in response to the one OCG recommendation - to measure cost-effectiveness and report the information to key stakeholders. The CAE will assess the overall status of the Management Action Plan once all elements of the MAP have been fully implemented.

Coordinator Name:	Jo-Anne Brisebois	Tel#:	(613) 957-4220
OPI:	Chantal Quinn	Tel#:	(613) 946-4344
Also sent to:	Cc: Jodi Bromley; Barbara Ritzen; Daniel Schnob /Carla Sanipelli (#2 a,c,e)		

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

**Audit Name: Horizontal Internal Audit of Compliance with the *Common Services Policy*
Office of the Comptroller General of Canada 2011**

Planned Action	Risk Ranking: Medium
II e) Identify measures of cost effectiveness that would be reported on in the Departmental Performance Report (DPR)	

Status as at March 31, 2013:	
<input type="checkbox"/> Level 1 (No or insignificant progress) <input checked="" type="checkbox"/> Level 2 (Planning Stage: plans created & approved) <input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation) <input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented) <input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)
<p>Efficiency measures for reporting on the provision of legal services in the DPR are being developed and will draw on measures identified through the Department's Process Optimization Initiative and other initiatives, where appropriate.</p> <p>Efficiency indicators will be identified in the Department's Performance Measurement Framework (PMF) that will be submitted to TBS in October 2013, as part of the Management Resources and Results Structures (MRRS) update for 2014-2015.</p> <p>Efficiency indicators will be implemented and tested internally in 2013-2014, and revised if necessary. The Department will begin reporting on efficiency indicators to Parliament and the public in the 2015-2016 DPR.</p>	
Estimated Date of Completion: September 2013*	
<p><i>* The timelines have been updated to reflect an October 1st, 2013 deadline and guidance established by TBS for the development of efficiency indicators as part of the annual MRRS Amendment Process. Accordingly, the timelines for submitting efficiency indicators to TBS have been revised to October 1, 2013, as opposed to the August 2013 deadline reported to DAC in July. Also, the timelines for beginning to report on efficiency indicators in the DPR have been extended by one fiscal year in response to updated guidance from TBS i.e., mandatory reporting on efficiency indicators will commence with the 2015-2016 DPR, as opposed to TBS' previous deadline of the 2014-2015 DPR which had been conveyed to DAC in July.</i></p>	

CAE Assessment
<p>Management has formulated a series of measures and actions in response to the one OCG recommendation - to measure cost-effectiveness and report the information to key stakeholders. The CAE will assess the overall status of the Management Action Plan once all elements of the MAP have been fully implemented.</p>

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**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

**Audit Name: PUBLIC SERVICE COMMISSION STAFFING AUDIT OF JUSTICE
CANADA 2012**

TAB 24/Onglet 24: PSC Audit/Vérification CFP

Summary/Sommaire:

Tab/ Onglet	Audit Name/Nom de la vérification	Audit Date/Date de la vérification	Carry Over MAPs / PAG ouverts	MAPs Closed / PAG fermés
24	PSC/ CFP	2012	2	0

[Back to Table of Contents/Retour à la table des matières](#)

Coordinator Name:	Jo-Anne Brisebois	Tel#:	(613) 957-4220
OPI:	Mary Lynn Courtney /Martin Belliveau	Tel#:	(613) 941-1902
Also sent to:	Cc: Joan Pratt		

MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

**Audit Name: PUBLIC SERVICE COMMISSION STAFFING AUDIT OF JUSTICE
CANADA 2012**

PSC Audit Recommendations	Risk Ranking:
<ol style="list-style-type: none"> 1. The deputy head of Justice Canada should establish and implement a control mechanism on the management and monitoring of sub-delegated authority to ensure that letters of offer are signed by managers to whom the authority had been sub-delegated. 2. The deputy head of Justice Canada should ensure that Justice Canada fully implements its staffing monitoring framework. This includes ensuring that appointment processes and related decisions are fully documented and compliant with legislative, regulatory and policy requirements. Monitored results should be reported to senior management for necessary actions, as needed. 	

Management Response and Action Plan
<i>See Attached.</i>

Last Update (June 2012)
Not applicable.

Update:	
<input type="checkbox"/> Level 1 (No or insignificant progress)	<input checked="" type="checkbox"/> Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)
<input type="checkbox"/> Level 2 (Planning Stage: plans created & approved)	<input type="checkbox"/> Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)
<input type="checkbox"/> Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)	<input type="checkbox"/> Obsolete (Department considers the recommendation obsolete or no longer applicable)

Current Status as at March 31, 2013 (please provide details on progress against the management action plan):
<p>All actions identified in the departmental Action Plan to address audit findings were completed with the exception of the full implementation of the Staffing Monitoring Framework (SMF). To fully implement the SMF, the remaining element to complete pertains to the completion of an internal appointment review exercise by Human Resources and Professional Development Directorate (HRPDD)</p> <p>The review exercise concluded at the end of February, 2013. The final report regarding the findings of the review was submitted to the attention of the D.G, HRPDD and it is intended that the monitored results will be reported to senior management by end of May, 2013. Subsequently, the Public Service Commission will be notified of its completion for DSAR assessment purposes and provided with a copy of the results stemming from the review exercise and a copy of the communication material that was provided to senior management regarding the findings.</p>
Estimated Date of Completion: May 31, 2013

CAE Assessment
The CAE supports management's self-assessment at level 4.

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Also sent to:	Cc: Joan Pratt		



Overview of Performance Measurement

What is it?

Performance measurement is part of an ongoing Government of Canada culture change initiative to embed principles of results based management into the day-to-day operations of government. **Results-based management** is a way of managing whereby an organization ensures that all of its processes, products and services contribute to the achievement of desired results. It depends on clearly defined accountability for results, and requires systematic monitoring, self-assessment and reporting on progress.

So while performance measurement is a form of analysis, it is one that is grounded in core corporate accountability regimes of government within which it is in turn only one of many tools. It is the process of developing, monitoring and assessing indicators to guide decision making

Why do we do it?

As federal public servants, we are often called upon to demonstrate the value and impact of the things we do. As stewards of the public purse, we have a responsibility to ensure that we are maximizing the value of public dollar expenditures and providing programs and services that meet the needs of the government, and ultimately Canadians at large, in the most efficient and effective manner possibly. Performance measurement is one tool available to do so.

Of more practical concern perhaps, we are not often given much choice in the matter. Results-based management of programs and initiatives, of which performance measurement is a significant element, is emerging as a core value of the public service. On their own and at the urging of central agencies, departments and agencies increasingly require regular evaluation and performance measurement as part of establishing or maintaining services and programs.

Within this environment, performance measurement assists management to:

- ∞ Systematically monitor and assess the progress of an initiative
- ∞ Provide effective departmental reporting
- ∞ Make informed decisions and take appropriate and timely action
- ∞ Ensure that appropriate performance data is collected to support evaluation

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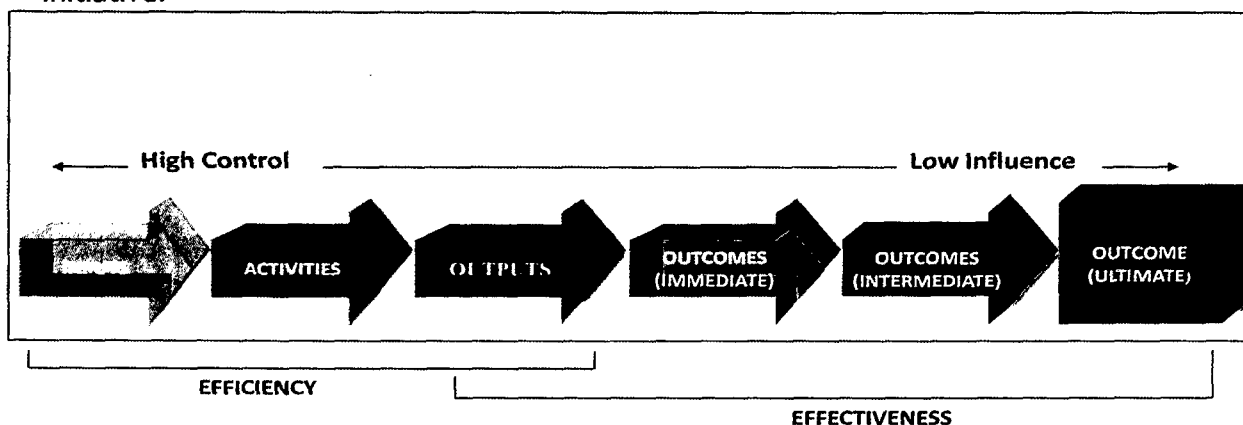
How do we do it?

While approaches to performance measurement vary somewhat, they all share certain core elements in common. There are five key elements involved in the development a Performance Measurement Framework (PMF). They are:

1. **Document the Logic of the Initiative**

Any performance measurement approach starts with a process of developing the story of the initiative. This is a process of considering, answering and documenting the “why” of a program: What is the purpose of the initiative? What are we trying to accomplish?

Performance measurement breaks this story down into a series of components and builds them up again in a standardized format: the logic model. A “logic model” serves as the initiative’s road map and is a visual representation of the linear relationship between inputs (“how we do it”), activities (“what we do”), outputs (“what we produce”) and outcomes (“desired end states”) of an initiative.



A logic model should be supplemented by a narrative outlining how activities contribute to immediate outcomes and how immediate outcomes contribute to higher level outcomes. The narrative should describe underlying assumptions about the program, including risks and external factors that may influence whether the program is successful in achieving its desired outcomes.

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Canada

Canada 000617

2. Determine Key Performance Indicators

Performance indicators are a means of measuring an output or outcome. In other words, they are the things that are measured to determine how well a program or initiative is contributing to the outcomes it has established. Examples of indicators are rate of settlement, client satisfaction, etc. Determining appropriate performance indicators is essential to effective performance measurement. Quality performance indicators should be:

- ∞ scientifically and statistically valid
- ∞ clearly linked to program outcomes
- ∞ repeatable and reliable allowing for comparison across time and different regions
- ∞ cost-effective to collect and analyze
- ∞ readily available

3. Build the Data Collection Strategy

Performance measurement is meant to provide an ongoing and continuous flow of performance data. It is important to have a clear **data collection strategy** developed, documented and in place to support the PMF. This requires focusing on how data is to be collected and should include a strategy that identifies the data sources, data types, data collection frequency, roles and responsibilities and other information required to implement and maintain the PMF. It is critical that the “how-to” be documented as staff turn-over and change through time can otherwise lead to drift in the method of collection or analysis that will undermine the long-term value of the data.

4. Build the Reporting Strategy

Related to the data collection strategy, there needs to be a clear **reporting strategy**, including the design of report templates and dashboards and establishment of a reporting cycle (how often are results reported and to whom?). There may be several different reports and dashboards required depending on the needs of different target audiences.

5. Test, Implement and Refine

Once the PMF design is in place it will need to be implemented. A “first-run trial” is a good practice to work out any bugs that may not be evident until the framework is operationalized. Refinement of the PMF based on these

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observations should be undertaken; thereafter, once the PMF "goes live" refinement, introduction of new indicators and periodic consideration of the overall framework can be accomplished on an as-needed basis, either to increase the sophistication of the system, to work out issues that arise over time, or to adapt to changes in requirements, process or business practices. As a general rule, these changes should be clearly documented and incorporated into the data collection and reporting strategies. This is especially important where these changes impact the reliability, consistency or comparability of data over the lifetime of the PMF.

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Alternate Dispute Resolution Justice Canada

Performance Measurement Implementation Observations and Recommendations

**Submitted by:
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(V3.3 March 31, 2011)

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Introduction

Justice Canada is responding to recommendations concerning Alternative Dispute Resolution (ADR) initiatives in the May 2007 report of the Office of the Auditor General (OAG) of Canada that the department "should ensure that it clearly defines each initiative's objectives, estimates the potential cost savings and formally reviews the outcome of the initiatives against their objectives."

The OAG report recommendations referenced above appear to deal only with the "initiatives" in other government departments and agencies (OGD) that are supported by the Dispute Prevention and Resolution Division (DPRD) of Justice Canada. However, these projects would be carried out at the request of the client departments or agencies, even if promoted by Justice Canada. Therefore, ultimate accountability for setting objectives, estimating costs and savings, monitoring performance and conducting retrospective evaluations are responsibilities of the client departments and agencies. In these circumstances, ADR is typically just one component of those organizations' underlying program delivery apparatus. This creates some interesting performance measurement, attribution/contribution and accountability challenges.

Despite the clear responsibility of the client departments for performance measurement of their own programs, DPRD is interested in monitoring the success of ADR initiatives since assisting departments and agencies is one of its lines of business. That interest, from the division's performance measurement perspective, is in aggregated achievement and coverage or reach. Some of that will come from tracking individual initiatives in OGD. Therefore, just as it assists departments and agencies with ADR implementation, Justice Canada should also assist them with measuring the effects of ADR.

Furthermore, it would not be sufficient to measure just this single line of business. DPRD must allocate its resources, and account for them, while conducting other activities such as training Justice Canada staff and ensuring they have the necessary knowledge and systems to support ADR. Therefore, a comprehensive performance measurement framework (PMF) for the division's work is another focus.

Finally, Justice Canada and DPRD in particular might very well be seen as the centre of knowledge about ADR across the federal government. Therefore, a consistent approach to assessing the extent and success of ADR across the many relevant departments and agencies would be very valuable. This would also be useful for strategic planning of the work of DPRD.

In light of the above, responding to the OAG Report and establishing a PMF for ADR requires a clarification of interests, roles and responsibilities and associated accountabilities. While Justice is interested in tracking the successful implementation of ADR initiatives of client departments as part of responding to the OAG, ultimate accountability for these initiatives lies with these client departments. Justice accountabilities for ADR rest primary in the use of ADR in the context of the management of litigation on behalf of client departments. Disambiguation of these two distinct elements of ADR is necessary in order to mitigate confusion that has occurred in

the discussions among Justice, the Office of the Auditor General, Public Accounts Committee and others in the past.

In summary, there are three distinct points of focus for performance measurement that DPRD can choose to pursue:

1. The success of individual projects to implement or improve ADR in a department's or agency's program;
2. The contributions of DPRD's three business lines (assisting departments and agencies, facilitating ADR for Justice Canada staff in their service to client departments and agencies, educating Justice Canada staff about ADR); and
3. The status of ADR in other departments and the federal government as a whole.

Justice Canada has engaged BMB Consulting Services Inc. (BMB) to assist in the development of a PMF for ADR initiatives in the federal government. The work will include:

- A consistent methodology for client departments and agencies to plan and measure effects from their Justice Canada-assisted ADR projects;
- Development of a consistent logic model for all the lines of business in DPRD;
- Selection of a balanced set of performance indicators for the Division's outputs and outcomes;
- Identification of responsibilities, procedures, targets and baselines to ensure the feasibility of the recommended data collection, analysis and reporting on a continuing basis; and
- Suggestion of an approach to assessing the penetration and worth of ADR across all relevant federal departments and agencies.

Summary of Recommendations

Recommendations from the following sections are summarized below:

1. As a direct response to the OAG observations, Justice Canada should develop a standard, consistent methodology for estimating the costs and benefits of the initiatives. The suggested measures should be tested with one or more existing projects.
2. The resulting indicators should be incorporated into a manual or tool kit that client departments and agencies will use to negotiate assistance from Justice Canada and report the results.
3. Refine the definitions and documentation of the dozen suggested indicators covering the three lines of business of DPRD, using the provided worksheets (Annex C).
4. Begin work on some of the major data sources implied by the suggested indicators including:
 - a. Database or inventory of all the programs in the federal government that generate or handle disputes and how they do it
 - b. Survey of Justice Canada employees on ADR knowledge

- c. Modifications to iCase to expand the scope of data collection and analysis.
- 5. Confirm the feasibility of reporting on as many as possible of the suggested or revised indicators by collecting current and historical data for initial test reports.
- 6. Implement a qualitative maturity model approach to assessing the status of ADR in relevant departments and agencies. The results can be summarized into quantitative measures.

DRAFT

1. Measurement of ADR Initiatives

For those who promote ADR, the benefits are so convincing in principle and from previous experience that investing in measuring those benefits may seem unnecessary. Does it matter if the payoff is five to one or ten to one? The answer is yes, for several reasons. Doubtless there will be transition costs and other hurdles to overcome associated with the introduction of ADR. The resulting benefits must outweigh them. As well, the ADR reforms should be optimized. Program managers should try to realize all the potential benefits and minimize any negative effects. Finally, lessons learned from measuring and monitoring ADR initiatives will assist in its promotion and implementation in other programs.

One of the conundrums inherent in measuring ADR implementation initiatives is that they are projects that are intended to affect continuing programs. In a project context, the interesting things to measure are timely completion (perhaps of phases), implementation and transition costs, and immediate benefits. However, the effects of the project will continue to accumulate as the program operates. The classic benefits from ADR are savings in time, savings in cost and the preservation of relationships that might be damaged in adversarial litigation. To these might be added the expectation of a different legal result than usually expected. These expectations apply to just about all ADR implementations. In addition, there will be benefits that are associated with the underlying program. For example, publicity about the ADR process and its effects (*e.g.*, speedier, more affordable) may encourage more similar claimants or potential litigants to come forward. Or the publicity may discourage them, for example, when settlements or awards under ADR are seen to be modest.

Therefore, a framework for measuring and monitoring individual ADR initiatives will have to be a collaboration between DPRD and the implementing department or agency. It cannot be so onerous or intrusive that it will deter clients or cause unnecessary burdens on them. It also must be consistent and simple enough to allow for meaningful monitoring and even aggregation by DPRD.

The following table lists the general topics or elements of performance associated with individual ADR implementation initiatives. It also shows whether DPRD, the implementing department or both are significantly interested.

Performance Elements	Major Interest	
	DPRD	Client Dep't
Implementation Costs in Client Dep't		✓
Assistance Costs from DPRD	✓	
On-time Implementation	✓	✓
Adequate Capacity Established	✓	✓
Total Diversion Rate	✓	✓
Successful Diversion Rate	✓	✓
Time Savings	✓	✓
Cost Savings	✓	✓

Relationship Effects	✓	✓
Outcome Effects		✓
Other Program Benefits		✓
Other Program Dis-benefits		✓

In order to respond to the OAG's concerns, these elements would have to be estimated at the outset and then measured upon implementation. There are a host of questions that must be answered about each of these. Definitions are needed that suit both DPRD and client department. Measurement and estimation methods should be settled. Timing should be standardized, along with reporting. These answers can be codified in a tool kit of forms and instructions. An initial version is provided in this report.

Data collection for each project can be a simple worksheet with a column for Estimates and one for Actuals. Given the expected volumes of initiatives, the results can be accumulated in a spreadsheet or other simple database. For the first few years of performance measurement, the process for each ADR implementation assistance project would follow the steps below after project approval. It is clear that there will be other administrative documentation, for example, schedules, agreements, approvals, sign-offs and so on.

1. Assignment of DPRD officer or team leader who is responsible for the collection of project performance data
2. Creation of a Project Objectives File and blank Objectives Report.
3. Completion of Project Objectives Estimates data fields with the assistance of the client department project leader and staff.
4. Periodic updates to the estimates as the project proceeds. Original estimates would be kept.
5. At the end of DPRD assistance on the project, recording of Actuals data for many fields will be possible.
6. Follow-up at six months past project completion to finalize other Actuals information. Six months may not be enough for some projects to determine the value of some indicators. It will have to be determined in practice what the right delay may be.
7. Comparison and analysis of Estimates vs. Actuals to explain variances and record lessons learned.

Objectives Report

The following is the layout of a simple Objectives Report to be used for each project or ADR initiative. The explanations of the contents of each cell are given below the form.

Start Date	Objectives Report		
End Date			
End Date + Six Months	Initiative Title		
	Estimates	Actuals	Comments

<i>Implementation Costs in Client Dep't</i>			
<i>Assistance Costs from DPRD</i>			
<i>On-time Implementation</i>			
<i>Adequate Capacity Established</i>			
<i>Program Diversion Rate</i>			
<i>Time Savings</i>			
<i>Cost Savings</i>			
<i>Relationship Effects</i>			
<i>Outcome Effects</i>			
<i>Other Program Benefits</i>			
<i>Other Program Disbenefits</i>			

Implementation Costs in Client Departments

Under the Estimates column, the department's commitment to the project in FTEs and non-salary dollars at the outset would be recorded. This should be part of the initial planning and agreement stages. Under the Actuals column, the final numbers for spending in human and financial resources would be recorded.

Assistance Costs from DPRD

Similarly to the above, the commitment and final amounts of DPRD resources would be recorded here.

On-time Implementation

In this row, the original planned implementation date and the actual date would be entered.

Adequate Capacity Established

This measure may require some creativity or adaptation for each project. For example, one project might require the recruitment and training of a number of mediators based on expected volumes. The estimate and the actual upon implementation would be recorded on this line. Another project might be looking at panel or tribunal members. Another might be looking at training internal staff members.

Program Diversion Rate

Planned and actual percentages (after six months) would be recorded on this line. The idea is to capture the share of potential legal disputes that are diverted from litigation. For some ADR projects, this will be 100% by legislation or regulation. To be clear, this indicator considers only the reduction in the number of cases that require legal work. It does not include the ADR that may occur once in the hands of Justice Canada lawyers.

Time Savings

In this row, the planned and actual shortenings of durations for average (or median or 90th percentile) cases would be entered. This refers to the total time to resolution including any litigation and adjudication.

Note that the detailed compilation, comparison and analysis of case or dispute durations are not always straightforward. They may require statistical calculations of some sophistication. For example, there may be several possible legal results (withdrawal, settlement, partial settlement, winning litigation, losing litigation) and a question might be whether ADR had affected the distribution. Another complication is that disputes do not all start at the same time and many still will be in progress at any particular time of measurement. There are sophisticated techniques to handle truncated data.

Cost Savings

In this row, the planned and actual total costs savings to the program would be entered. This would take into account the normal operating costs of the program, the extra costs of operating ADR within the program, and the legal costs associated with any remaining cases that go on to litigation. This calculation does not require knowing the costs savings for any particular case.

Relationship Effects

Planned and actual effects on relationships are documented on this line. They would take the form of short narratives but should include numbers if possible. For example, "Expectation is that 60% companies will continue to bid for contracts despite registering formal complaints."

Outcome Effects

This line records other changes in the patterns of effects, both planned and observed. This does not include cost savings as they are already recorded. For example, there might be an expectation that contract provisions would be completely delivered after some mediations, rather than ending in financial penalties. Again, quantification of expectations and observations would be helpful.

Other Program Benefits

This is the area to record other benefits to the program from having an ADR process as part of it. These would also be narratives although quantification may be difficult. An example would be that more people would be willing to participate in the program since there is a trusted appeals tribunal.

Other Program Disbenefits

Similarly to the last line, any anticipated or observed negative effects of having an ADR process in a program would be recorded. An example might be a lowered rate of participation after it becomes known that compensation for problems is usually quite small because of ADR.

Recommendations

1. As a direct response to the OAG observations, Justice Canada should develop a standard, consistent methodology for estimating the costs and benefits of the initiatives. The suggested measures should be tested with one or more existing projects.
2. The resulting indicators should be incorporated into a manual or tool kit that client departments and agencies will use to negotiate assistance from Justice Canada and report the results.

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2. PMF for DPRD Lines of Business

As well as assisting with the implementation of ADR in other departments and agencies, DPRD works *within* Justice Canada, providing systems, tools and policy instruments so that the Justice Canada lawyers working in client departments and agencies are enabled to divert cases from final adjudication before the courts to other means of resolution. Finally, DPRD provides training to Justice Canada employees about the appropriate use of ADR.

More formally, the lines of business/activity groupings for the division are:

1. Promote, design, improve and support ADR processes in client departments and agencies that complement their programs. In other words, DPRD helps departments and agencies create and evolve systems that offer and use ADR as regular parts of their programs, for example, an appeal process that uses mediation. This is the area on which the AG commented.
2. Support Justice Canada lawyers who are assigned to departments and agencies with policies, knowledge, systems and tools to enable the diversion of potential litigation to ADR.
3. Training Justice Canada employees on the appropriate use of ADR.

Program Logic Modelling

There are some existing models in DPRD's background documentation that use some of the language of logic modelling. They are variously labelled "Strategic Model" or Strategic Action Plan" and display a variety of activities, outputs, and objectives/outcomes/deliverables tied to varying time periods. These are reproduced in Annex B.

The existing models are likely useful in their original contexts. The concepts and wording can also be helpful in the present exercise. However, the apparent integration of a project and planning perspective has introduced time-based labels for many outcome-based terms; that is, there is an attempt to identify some outcomes as short-term or long-term. But since Justice Canada's work and interest in ADR are continuous, the benefits also are realized on a continuing basis. For example, diversions to ADR from potential litigation, and therefore savings in time and costs, are happening all the time. It is confusing to label these outcomes as medium- or long-term. Outcomes in continuing programs should be distinguished by the amount of influence, not time.

BMB has found that some standardization of language and formats helps in clarifying concepts and communicating them. There are underlying similarities among government programs. This has led to the development of categories of generic logic models that can be adapted to the particulars of an organization/program. For example, all training programs can use a single simplified logic model, permitting aggregations and comparisons.

In the case of DPRD and its ADR work, there are essentially two patterns:

- Supplying a capacity for service that is taken up or used by clients to realize higher level program benefits
- Training or providing information that raises the awareness of clients in hopes of changing their behaviour so that they and others may benefit.

The first or service model applies to the first two lines of business – working with departments and agencies and with Justice Canada to support ADR. The training model obviously applies to the third line of business.

The table below displays the logic flows based on these models along with the first outlines of indicators that could be associated with each element. Please note that the outcome language that is used below has not been formalized but is intended to convey a performance flow or story to enable the identification of useful areas of measurement.

Lines of Business – Activities	Outputs	Direct Outcomes	Intermediate Outcomes	Ultimate Outcomes
		CAPACITY	UPTAKE	BENEFITS
Promote, design, improve and support departmental/agency ADR processes	Engagements, Interventions	System Development, System Reforms (i.e. clients develop the capacity to use ADR)	Diversions (i.e. clients apply ADR in appropriate circumstances)	Cost Savings, Time Savings, Preserved Relationships, Second-order Benefits (e.g., deterrence)
Scope for potential indicators	# of projects, project mgt. data (on time, on budget, etc.)	ADR incorporation coverage, fraction by dept./liability/cases	% diversion by number/value	% successful diversions, satisfied disputants, \$ saved, lawyer-hours saved,
		CAPACITY	UPTAKE	BENEFITS
Support ADR diversion of DOJ-handled cases	Tools, policies, systems, incentives	Ability to divert (i.e., Justice Canada lawyers have the support they need to use ADR)	Diversions (i.e., Justice Canada legal staff use ADR in the appropriate circumstances)	Cost Savings, Time Savings, Preserved Relationships, Second-order Benefits (e.g., deterrence)
Scope for potential indicators		% able (clients/lawyers)	% cases diverted	% successful diversions, satisfied disputants, \$ saved, lawyer-hours saved

		AWARENESS	BEHAVIOUR	BENEFITS
Training, knowledge, capacity-building	Classes, tools,	Trained Justice Canada Employee (i.e., Justice Canada staff are knowledgeable about where, when and how to apply ADR principles and processes)	Openness to diversion to ADR, actual diversion (i.e., Justice Canada staff are disposed to apply ADR principles and processes in the appropriate circumstances)	Cost Savings, Time Savings. Preserved Relationships, Second-order Benefits (e.g., deterrence)
Scope for potential Indicators	Attendance	Awareness, satisfaction	Behaviour adoption or changes, % who are diverting,	% successful diversions, satisfied disputants, \$ saved, lawyer-hours saved

Potential Performance Indicators

This section discusses the possibilities for indicators that would apply to each stage of the logic models/flows.

Promote, design, improve and support departmental/agency ADR processes

Outputs: In support of ADR in departments and agencies, DPRD develops or improves systems. A straightforward indicator of outputs would be the number of such projects completed in a reporting period, typically one year. This might be compared to a long-term average or trend. But if production varies widely – because projects may be of greatly differing scales and scopes – then simply monitoring the trend would not be very illuminating. It would also be hard to set a target for the number of projects. A variation on this would be simply to count the number of client departments and agencies supported at any time during the year. The associated target could be set from work plans or from an average of the last few years.

Another way to monitor projects would be to look at their management. Did they get delivered on time? Were budgets adhered to? An indicator could be based on the fraction or percentage of projects that were delivered on time and on budget. A potential problem with this type of indicator is that it has some built-in bias and lag. A project that is not completed, and probably running over budget, will not be counted until it finally is resolved. Expanding the measurement period to several years would minimize this problem but makes the indicator less sensitive. However, running behind schedule or over budget would probably affect the number of clients that can be helped, making this suggestion a more complex way of portraying difficulties in delivering the planned or needed level of output.

Recommendation: Use the number of clients being assisted each year. If this does not prove interesting over time, then look at quality measures.

Direct Outcomes: The direct outcome is tied to the establishment or consolidation of ADR capacity in the client departments and agencies. There are two ways of looking at this. The simplest is to estimate the percentage of projects completed each year that are successful in establishing the desired capacity. Variations on this could be to weight the successful and unsuccessful projects by number or value of the disputes in play. The assessment of success would come from the project Objectives Reports in Section 1.

A second, more long-range view is to consider the improvement that each year's projects make in coverage of ADR against all the places where it has potential. For example, 85% of departments with ADR potential now have adequate systems, compared to the previous year when it was 75%. A variation would be to weight the potential by number or value of disputes. This is a better strategic indicator but requires knowledge of all department and agency dispute situations.

Recommendation: If DPRD uses knowledge of all departments and agencies to prioritize and assign its assistance to them, then the second indicator is best. If DPRD assistance is on a demand basis, then the first indicator is more appropriate.

Intermediate Outcomes: Diversion of disputes from the courts, at least initially, is the intermediate aim of ADR. The most direct indicator would be the percentage of disputes that are appropriately diverted. In some departments or agencies, that expectation would be 100%, for example, when a mandatory review panel mechanism operates. In other situations, ADR might be offered as an option that might be attractive to both sides in perhaps 30% of cases. This indicator can be measured by tracking the actual experiences in departments or by estimates or by a combination. The calculation could be made by averaging all the departmental diversion rates or by dividing total diversions by total eligible disputes, where 'eligible' would be defined as possibly amenable to systematic ADR.

Recommendation: Use the total diversion rate for eligible disputes.

Ultimate Outcomes: There are many possible indicators at this stage. If the number of diversions is known, it may be possible to track the percentage that 'stay' diverted, i.e., that do not end up in court. This would be closely related to the mutual satisfaction rate with ADR, although not going to court may reflect exhaustion of will or funds, rather than reconciliation. It would take a survey of disputants to find out. It would be very expensive to try to estimate the time or money savings resulting from ADR in each dispute in order to amass a grand total. However, some case studies might be done, especially during the support and development work, to provide average or typical factors that might be applied to each system. For example, compulsory mediation in one department might save an average of seven months for the 90% of disputes where litigation is avoided, but add three months to the 10% that do go to court anyway. This

works out to a net average saving of six months per dispute. Since such cost-benefit factors would be based on case studies, and not updated in real time, they might more properly belong in program evaluations in the implementing departments.

Recommendation: Use the success rate (avoidance of litigation) of diversions averaged over all diversions. Use available data, improving and adding as more information becomes available.

Support ADR diversion of Justice Canada-handled cases

Outputs: The outputs within the department are tools and systems and policies. Performance indicators apply best when the outputs are homogenous and repeating. The individual outputs are probably quite different and specific. One way to accommodate this situation is to track the completion status of the projects or initiatives that are contained in annual work plans. This does miss *ad hoc* work but should capture the bulk of outputs. A more strategic variation on this would track the completion of projects against a longer-term work plan if such exists. The latter would give a better sense of the sufficiency of the enabling tools, systems and policies. If a rolling multi-year plan is used, the completion level might remain quite static (e.g., always 20% of a five year plan), so this should be avoided. Plans can always be changed as well, making continuity a problem.

Recommendation: Use the simple completion percentage of the annual work plan. Experiment with alternatives such as the others suggested here, to see if better indicators can be devised.

Direct Outcomes: The direct effect of the support inside the department is that lawyers who are serving clients are enabled to use ADR when appropriate; that is, they have the tools, systems and policies in place to take advantage of ADR. The most straightforward indicator of this is to track the proportion (percentage) of Justice Canada lawyers who are indeed adequately supported and enabled. This could be done through a subjective survey, perhaps on a sample basis. Or it could also be done more objectively, through the development of criteria such as the availability of mediators or arbitrators. This would allow for 'partial enabling' that would be averaged into a total percentage that could be based on individuals or office/client groups.

Recommendation: Use the percentage of client/office groups of Justice Canada legal staff who are adequately enabled to use ADR as appropriate. Use a subjective rating until an objective (criteria-based) rating is developed.

Intermediate Outcomes: A direct indicator at this level is the proportion of disputes referred to Justice Canada legal staff that is diverted to an ADR process. This should be apparent in the iCase system. It will be difficult to set a target without a study that would second-guess a historic sample of sufficient size to estimate a best-practices level of diversion. Until that is done, a general improving trend is desired. It would be possible to apply various weighting schemes to the information such as dollars at risk or difficulty, provided these variables were consistently classified.

Recommendation: Track the proportion or percentage of disputes diverted to ADR by Justice Canada legal staff from the total population of disputes referred to them.

Ultimate Outcomes: Similar to the disputes that are handled by departmental systems, it is possible conceptually to track both the success of the diversions (iCase should show if a dispute ultimately ended up being adjudicated before the courts) and some of the benefits such as time and cost savings. Measuring disputant satisfaction is also a theoretical possibility.

Recommendation: Use the diversion success rate as the primary indicator at this stage. The other benefits can be assessed periodically through evaluations. This makes sense because it is difficult to set targets for savings and because it is not clear what managers would do in the short term about a change in time savings or in disputant satisfaction. On the other hand, a change in the proportion of diversions that are not eventually adjudicated in court might prompt new criteria or better training.

Training, knowledge, capacity-building

Outputs: The most important activity in this line of business is the instruction of Justice Canada staff on the benefits and appropriate use of ADR. Although classes or elements of curriculum could be counted, a very convenient and significant indicator is the number of people who receive instruction. The target should be derived from the number of new employees and the backlog, if any, of current employees that do not have up to date ADR training.

Recommendation: Track the number of people attending ADR instruction.

Direct Outcomes: In this logic flow, instruction is designed to create awareness. It might be assumed that simply attending ADR classes would create awareness. However, if the instruction is not effective for some reason, the staff attending the classes may not retain what they need to know. For this reason, some kind of follow-up survey is needed. If this were a survey of all staff and not just recent attendees, it could be useful for planning remedial instruction. An on-line survey is simple to implement although randomizing the sample will take some effort and there must be senior management support to ensure a decent response rate.

Recommendation: Implement a survey to monitor awareness of ADR in Justice Canada legal staff.

Intermediate Outcomes: The intention of this activity at this stage is to maximize the tendency among staff to consider and use ADR. If there are significant changes or trends in the awareness levels (direct outcome indicator) then parallel changes in diversion rates or in the diversion success rate (previously measured at the ultimate level), can indicate an influence on behaviour from the training. The correlation levels would be very specific indicators. However, this would require sophisticated statistical analysis over considerable time. It would not be suitable for an ongoing performance indicator, even on

a yearly basis. It is more appropriate for a periodic retrospective evaluation. A simpler indicator that complements the diversion rate would be the proportion of legal staff with authority to divert who are actually diverting to ADR. This should be available from analysis of iCase data. The target can be based on historical data.

Recommendation: Track the proportion or percentage of staff that are diverting disputes to ADR (at least one case in the last year).

Ultimate Outcomes: The parallel indicator at the ultimate level is the proportion of staff that have a successful diversion (settled or closed without litigation) during the last year. The target can be based on historical data.

Recommendation: Track the proportion of staff that have a successful diversion (settled or closed without litigation) during the last year.

Integration with Risk Monitoring

In the absence of a risk profile for DPRD, coordinating the development and selection of performance indicators with risk monitoring measures will have to be postponed.

Indicator Selection and Definition

The next step in the process is to refine the definitions of the candidate indicators and explore the feasibility of their implementation. Each proposed indicator should be fully documented according to the following template. Each element would eventually have to be clarified when the indicator is implemented so, by doing the documentation in advance, delays, disappointments and disagreements can be avoided. For example, if no data source can be identified at the outset, committing to reporting an indicator is not a wise plan. This is part of the necessary "implementation homework" or due diligence.

Indicator Name	
Custodian	The position or title of the individual in DPRD who will be responsible for the implementation of this indicator. The custodian may have assistance in this responsibility.
Place in Logic Model	To what element of the logic model does this indicator relate? What level is this at (outputs, immediate outcomes, intermediate outcomes or ultimate outcomes)?
Rationale	What is expected to be learned from this indicator? For example, will it illustrate efficiency or success?
Definition	A full explanation of how to calculate or record the value of the indicator.
Unit of Measure	If not clear from the definition, the units being used in the indicator such as percentage, average, number of files, number of persons, etc.
Target or Standard	This should be specific as to the level or amount expected and in what time period, if applicable. Some target or standards will change over time and some will not.

Tolerance	If the target does not already include a tolerance, then the amount by which the indicator may vary from the target without causing concern.
Frequency	How often the indicator will be updated
Known Problems	Conditions or circumstances that should be made clear in interpreting the indicator. For example, reasons that a survey might be biased or the unavoidable delays in collecting data that make the indicator somewhat out-of-date.
Data Source and Contact	Specifications on the records or surveys that go into the calculation or formulation of the indicator. The name of the person (often not the custodian) who provides or extracts the information.
Resource Needs	The costs in human and material terms to produce the indicator.
Initial Data or Roll-out	The date the series of indicator observations is to begin, including any historical data that can be recorded.
Analyst	The person(s) who will interpret each observation, providing explanations and responses as appropriate. This may be the custodian.
Stakeholders	A list of those who should be consulted in the analysis and reporting.

The worksheets for the 12 suggested are attached in Annex C.

Indicator Reporting Feasibility Testing

Once the indicators have been defined in theory, it is wise to test them out in practice by attempting to construct initial or trial reports using current and historical data. If data are not available, it can still be instructive to model the reporting process with imaginary data.

Recommendations

3. Refine the definitions and documentation of the dozen suggested indicators covering the three lines of business of DPRD, using the provided worksheets (Annex C).
4. Begin work on some of the major data sources implied by the suggested indicators including
 - a. Database or inventory of all the programs in the federal government that generate or handle disputes and how they do it
 - b. Survey of Justice Canada employees on ADR knowledge
 - c. Modifications to iCase to expand the scope of data collection and analysis.
5. Confirm the feasibility of reporting on as many as possible of the suggested or revised indicators by collecting current and historical data for initial test reports.

3. Government-wide ADR Assessment

As mentioned in the introduction, Justice Canada and DPRD may be seen as the natural point of accountability for the penetration and success of ADR across all government departments and agencies. To handle this extra responsibility, DPRD would be well advised to develop a consistent framework for assessing the use of ADR.

A quantitative approach would be difficult to apply since, for example, diverting one dispute in ten could be wonderful in one program but woefully inadequate in another. Instead, a qualitative approach along the lines of the increasingly common maturity models seems more promising. In this kind of tool, progress or status is determined from a grid of scenarios that are matched through self-assessment or external rating to the current situation in the department or agency. The tools suggested below offer scenarios at three levels of achievement or transition stages for four major attribute categories and sixteen attributes.

Once these tools have been applied across government, it will be possible to construct some quantitative summaries such as the number or proportion of departments that are implementing ADR well.

Attribute Categories

The attribute categories represent those attributes or elements that must be in place in order for organizations/programs to implement and sustain appropriate ADR principles and practices:

1. **Culture:** These attributes focus on the organization's/program's leadership and top down support for the use and application of ADR
2. **Processes:** The focus of these attributes is on policies, practices and mechanisms that have been put in place to implement and sustain the consistent and appropriate use of ADR
3. **Human Capacity:** This element examines whether the organization's/program's people have the backgrounds, skills and resources to execute ADR processes consistently
4. **Application:** This element examines the degree to which the organization/program is practicing the behaviours that are necessary to apply ADR principles and practices consistently and appropriately

Transitional Stages

The compliance continuum follows a sequence of three stages: a) awareness; b) engagement; c) practitioner. They are defined as follows:

- a) **Aware:** The organization/program is aware of, but not fully committed to, or equipped to engage in, the implementation of ADR
- b) **Engagement:** The organization/program has made the commitment to the use of ADR and is exploring different approaches and attempting to make the transition from previous systems and practices to more mature ones

- c) **Practitioner:** The program has fully implemented policies and practices necessary to fully implement and sustain the use of ADR and is at a stage of maturity where it is continually learning and improving and updating its ADR policies, practices, systems and approaches.

Rating Tools

The above are presented as a summary sheet and a series of guides or scoring sheets. For each of the sixteen attributes, a rating of 1, 2 or 3 is entered, depending on which of the three scenarios is closest to the actual situation in the department or agency being rated.

High Level Organizational Use of ADR Maturity Characteristics

Attribute:	Level Of Maturity		
	Aware	Engaged	Practitioner
CULTURE	Patchy, inconsistent commitment Some understanding / awareness Cautious, reactive approaches to compliance obligations	Prepared to exercise good compliance practices and beginning to demonstrate commitment Good understanding of commitment to benefits across most of the organization	Proactive culture Intuitive understanding Belief, full commitment to be the best
PROCESSES	Where present practices/activities are inconsistent, informal, ad hoc and/or inefficient	Consistent approach but scalable Tailored to specific needs	Adaptive Proactive Fit for purpose Best practices/best in class
HUMAN CAPACITY	Basic competence is lacking or resident in (a) very small area(s) Low resource investments or investments in training/development	Proficient Formal qualifications Adequate investments in training and development are beginning to be made	Extensive experience Leading qualifications Externally recognized high competence Appropriate investments in training and development
APPLICATION	Inconsistent application Inadequately resourced	Consistently applied Adequately resourced	Proactively resourced Processes function well cross entire business Flexible Monitoring and reporting for improvement

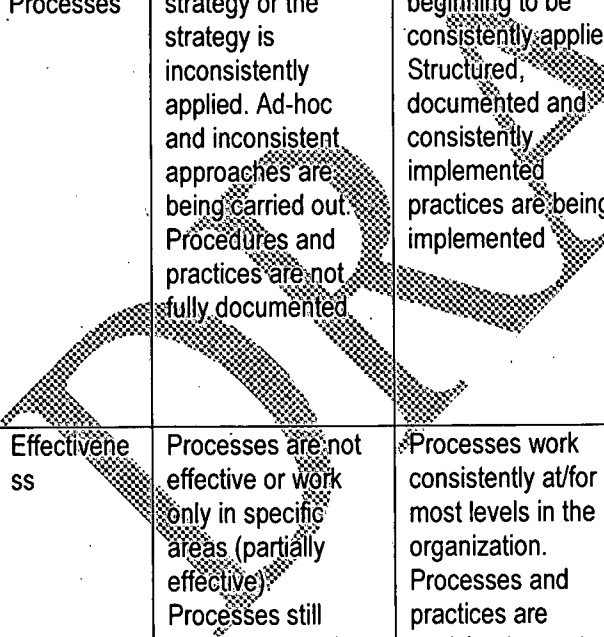
Attribute Ranking Guide – CULTURE

	A	B	C	
	Level of Maturity			Rating

Attribute		Aware	Engaged	Practitioner	1-Aware 2-Engaged 3-Practitioner
CULTURE		Patchy, inconsistent commitment Some understanding/ awareness Cautious, reactive approaches to the use of ADR	Prepared to exercise good ADR practices and beginning to demonstrate commitment Good understanding of, commitment to benefits across most of the organization	Proactive culture Intuitive understanding Belief, full commitment to be the best	
1	Senior Management Commitment	Support for compliance ranges from hostile to passive. Management commitment is uncoordinated and/or non-cohesive	Executives support and promote compliance activities and are showing consistent levels of commitment, although there are still gaps	Executives have a strong understanding of benefits and actively champion the use of ADR	
2	Belief in Value of ADR	Perception throughout most of the organization is that ADR is a distraction or has limited value	Belief that ADR activities can help and add value	Belief the ADR can improve business performance and include in business targets	
3	ADR Awareness	Awareness on the part of some parties of ADR principles and practices but the levels of awareness are not consistent. Employees are beginning to be aware of the benefits and application of ADR	There are more consistent levels of awareness at all levels. Employees are becoming increasingly aware of the ADR obligations pertaining to their role	All employees are aware of the impact of their ADR obligations	
4	Communication of ADR Strategy	Little or ad hoc communication. Strategy communicated between internal	Strategies and processes are being put in place and communicated between	Strategies and processes are in place and used between individuals, projects, business units	

		units is not clear or concise	individuals, projects, business units and organizations	organizations. Feedback is flowing up and down	
	CULTURE			Total = x (Maximum = 12) Ave Score = x (Total divided by number of attributes)	

Attribute Ranking Guide - PROCESSES

		A	B	C	
		Level of Maturity			Rating
Attribute		Aware	Engaged	Practitioner	1-Aware 2-Engaged 3-Practitioner
PROCESSES		Where present, practices/activities are inconsistent, informal, ad hoc and/or inefficient	Consistent approach but scalable Tailored to specific needs	Adaptive Proactive Fit for purpose Best practices/best in class	
1	Formality of Processes	No corporate strategy or the strategy is inconsistently applied. Ad-hoc and inconsistent approaches are being carried out. Procedures and practices are not fully documented	Strategies are beginning to be consistently applied. Structured, documented and consistently implemented practices are being implemented	Strategies proactively modified to reflect changes in environment. Right levels of formality for the types of risks/vulnerabilities. Users can proactively modify and formalize existing processes to address various situations	
2	Effectiveness	Processes are not effective or work only in specific areas (partially effective). Processes still break down and fail.	Processes work consistently at/for most levels in the organization. Processes and practices are evolving to meet current ADR needs	Processes are relevant, adapt/evolve proactively to internal and external changing needs related to ADR maturity, opportunities/strengths	
3	Integration with Other Business Processes	No or little integration with other business processes	Integration with other business processes is taking place cross-functionally	Cross-functional horizontal linkages with other business processes have been put in place and are functioning	

				effectively	
4	Scalability	Processes are not scalable	Processes are scalable in a few stepped increments by division/unit. Small number of fixed options (small/medium/large)	Processes are fully scalable and managed with a flexible approach to meet all compliance requirements	
	PROCESS			Total = x (Maximum = 12) Ave Score = x (Total divided by number of attributes)	

Attribute Ranking Guide – HUMAN CAPACITY

		A	B	C	
		Level of Maturity			Rating
Attribute		Aware	Engaged	Practitioner	1-Aware 2-Engaged 3-Practitioner
HUMAN CAPACITY		Basic competence is lacking or resident in (a) very small area(s) Low resource investments or investments in training/development	Proficient Formal qualifications Adequate investments in training and development are beginning to be made	Extensive experience Leading qualifications Externally recognized high competence Appropriate investments in training and development	
1	Levels of Qualified Staff	No individuals with current high level qualifications/training, certifications	Some individuals with current high level qualifications, certifications	Individuals in the organization with specific high level qualifications, certifications	
2	Range and Depth of Experience of Employees	Some individuals with some experience but most/all have less than 5 years experience	Some individuals have more than 5 years experience in a range of compliance functions	Many individuals with more than 10 years experience and involvement in an extensive range of ADR functions	
3	Skills and Capabilities of People	Basic skills and capabilities are limited	Trainers/mentors are being put in place. Range of skills and capabilities are being put in place. Many employees are capable of	Trainers/mentors are in place, wide range of skills and capabilities. Most employees are capable of acting on their own initiative	

			acting on their own initiative		
4	Investment in Training / Personal Development	Limited investment is taking place. No or minimal training is currently taking place.	A formal organized and updated training program is being put in place or is in place.	Resource investment is strong. Training plans are in place. Training is actively encouraged and is comprehensive, relevant and available. Best practices are being actively disseminated.	
	HUMAN CAPACITY			Total = x (Maximum = 12) Ave Score = x (Total divided by number of attributes)	

Attribute Ranking Guide - APPLICATION

		A	B	C	
		Level of Maturity			Rating
Attribute		Aware	Engaged	Practitioner	1-Aware 2-Engaged 3-Practitioner
	APPLICATION	Inconsistent application Inadequately resourced	Consistently applied Adequately resourced	Proactively resourced Processes function well cross entire business Flexible Monitoring and reporting for improvement	
1	Use of Policies/Standards	Policies/standards are not consistently used or fully adhered to	Policies/standards are being developed, used and adhered to	Policies and standards are used appropriately and are being adhered to	
2	Use of Appropriate Processes/Systems	Certain processes/systems do not exist and/or not appropriate and/or not consistently used or fully adhered to. Roles are not defined and/or	Appropriate processes/systems are beginning to be used and adhered to. Organization/program is adequately structured and resources and regularly reviewed and understood	Processes/systems used appropriately and adhered to. Organization's/program's processes/systems are flexible, current and clearly understood	

		resources fully allocated			
3	Quality of Performance Monitoring and Reporting	No or very little monitoring and reporting	Action is being taken to put in place performance metrics and interactive reporting	Robust performance metrics, interactive reporting in place and used to gather lessons learned and facilitate continuous improvement	
4	Learning and Improvement Mechanisms	Little or no learning or improvement. Some selected responses to emerging situations	Selected responses are being effectively employed for all identified opportunities/strengths/drivers/risks/vulnerabilities. Lessons learned are being communicated	Performance information is being used together with lessons learned to facilitate learning and improvement. New practices and approaches being implemented	
	APPLICATION			Total = x (Maximum = 12) Ave Score = x (Total divided by number of attributes)	

Summary Scores – USE OF ADR MATURITY MATRIX

	Total Score Available	Actual Score	Average Score
CULTURE	12		
PROCESSES	12		
HUMAN CAPACITY	12		
APPLICATION	12		
OVERALL RATING FOR THE ORGANIZATION/PROGRAM:			

Departmental and Government-wide Ratings

The above tools will produce a rating from 12 to 48 for a department or agency individually. These can be used to compare departments or select ones for special

attention. They can also be used to construct an overall average or other statistics such as median or average improvement year to year.

Recommendation

6. Implement a qualitative maturity model approach to assessing the status of ADR in relevant departments and agencies. The results can be summarized into quantitative measures.

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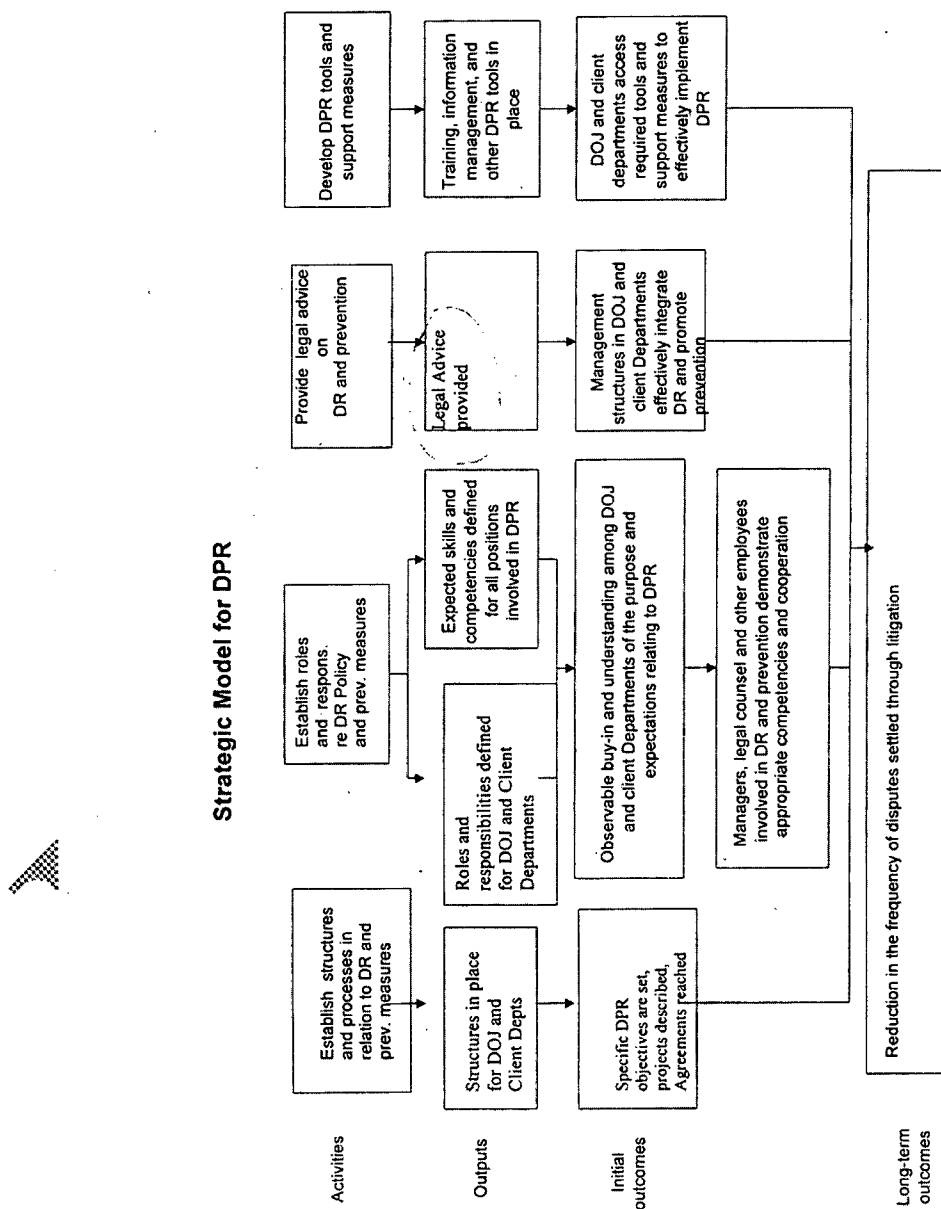
Annex A – Document Inventory

- 2011-2012 Management Sector Integrated Business Plan
- DR Fund Evaluation: Overview of Return on Investment from the DR Fund as of March 2004
- Dispute Prevention and Resolution Division – Mandate, Vision and Projects
- 2010-2011 Operational Plan – Law Practice Management Directorate
- Update of Initiatives Related to the Recommendation 3 of the 4th Report, Chapter 5, *Managing the Delivery of Legal Services to Government* – Department of Justice Canada of the May 2007 Report of the Auditor General of Canada
- Performance Measures and their Indicators: a Compilation of Approaches from the Dispute Prevention and Resolution Section's DR Fund Project
- Department of Justice – Client Feedback Survey: Draft Survey Questionnaire
- Proposed Commercial Mediation Act – Information Chart

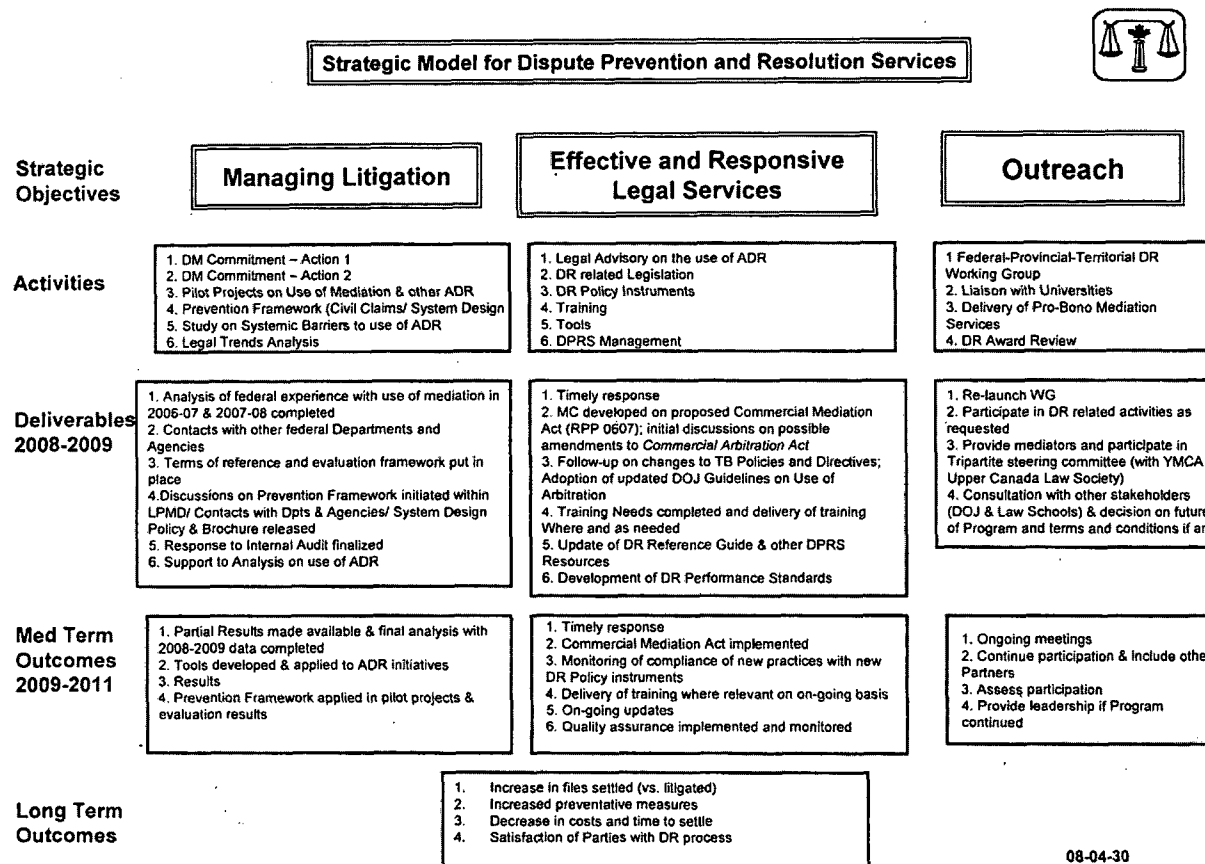
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Annex B – Three Existing Models

1. Strategic Model for DPR

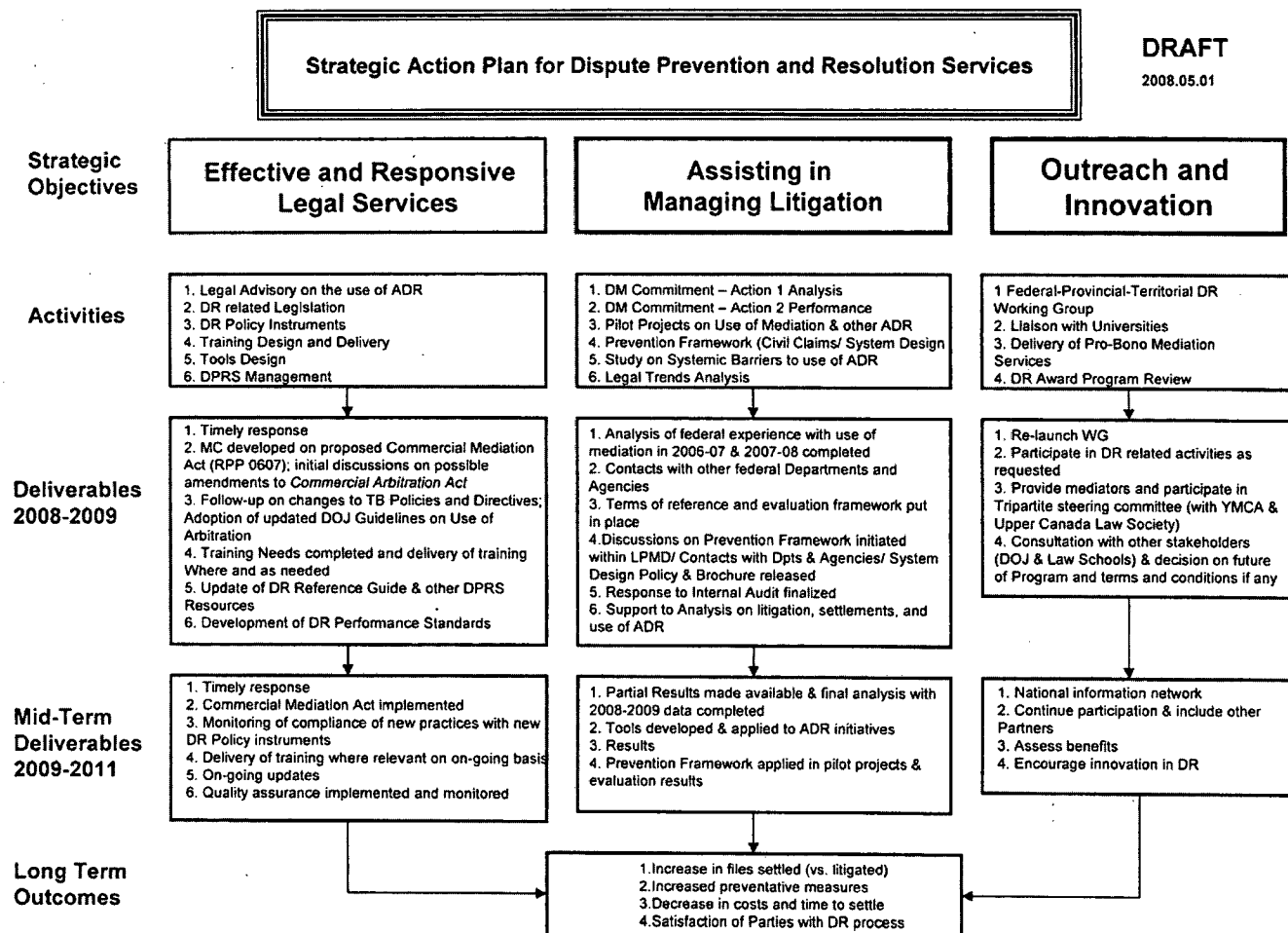


2. Strategic Model for Dispute Prevention and Resolution Services
080430



08-04-30

3. Strategic Model for Dispute Prevention and Resolution Services
080501



Data Source and Contact	<i>Specifications on the records or surveys that go into the calculation or formulation of the indicator. The name of the person (often not the custodian) who provides or extracts the information.</i>
Resource Needs	<i>The costs in human and material terms to produce the indicator.</i>
Initial Data or Roll-out	<i>The date the series of indicator observations is to begin, including any historical data that can be recorded.</i>
Analyst	<i>The person(s) who will interpret each observation, providing explanations and responses as appropriate. This may be the custodian.</i>
Stakeholders	<i>A list of those who should be consulted in the analysis and reporting.</i>

Indicator Name	2. Percentage of projects completed each year that are successful in establishing the desired capacity
Custodian	<i>The position or title of the individual in DPRD who will be responsible for the implementation of this indicator. The custodian may have assistance in this responsibility.</i>
Place in Logic Model	Direct outcome measure
Rationale	Illustrates the establishment of ADR capacity in client departments and agencies
Definition	Ratio of Projects that attain their objectives in the Objectives Reports to the total number of projects in the last 12 months
Unit of Measure	Percentage
Target or Standard	100%
Tolerance	<i>If the target does not already include a tolerance, then the amount by which the indicator may vary from the target without causing concern.</i>
Frequency	Reported annually, but can be measured at any time
Known Problems	<i>Conditions or circumstances that should be made clear in interpreting the indicator. For example, reasons that a survey might be biased or the unavoidable delays in collecting data that make the indicator somewhat out-of-date.</i>
Data Source and Contact	<i>Specifications on the records or surveys that go into the calculation or formulation of the indicator. The name of the person (often not the custodian) who provides or extracts the information.</i>
Resource Needs	<i>The costs in human and material terms to produce the indicator.</i>
Initial Data or Roll-out	<i>The date the series of indicator observations is to begin, including any historical data that can be recorded.</i>
Analyst	<i>The person(s) who will interpret each observation, providing explanations and responses as appropriate. This may be the custodian.</i>
Stakeholders	<i>A list of those who should be consulted in the analysis and reporting.</i>

Indicator Name	3. Total diversion rate for eligible disputes
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Annex C- Indicator Worksheets

The following worksheets are for the indicators recommended under Section 2 above – PMF for DPRD Lines of Business:

1. Number of clients being assisted annually
2. Percentage of projects completed each year that are successful in establishing the desired capacity
3. Total diversion rate for eligible disputes
4. Success rate (avoidance of litigation) of diversions averaged over all diversions
5. Completion percentage of projects in the annual work plan for ADR in Litigation
6. Percentage of client/office groups of Justice Canada legal staff who are adequately enabled to use ADR as appropriate
7. Percentage of disputes diverted to ADR by Justice Canada legal staff from the total population of disputes referred to them
8. Diversion success rate (i.e., litigation avoided after diversion)
9. Number of people attending ADR instruction
10. Awareness of ADR in Justice Canada legal staff
11. Percentage of staff who are diverting disputes to ADR (at least one case in the last year)
12. Percentage of staff who have a successful diversion (settled or closed without litigation) during the last year

Indicator Name	1. Number of clients being assisted annually
Custodian	<i>The position or title of the individual in DPRD who will be responsible for the implementation of this indicator. The custodian may have assistance in this responsibility.</i>
Place in Logic Model	Output measure
Rationale	Illustrates reach of assistance and demand for it
Definition	Number of client assistance projects in progress during any part of the last 12 months
Unit of Measure	number
Target or Standard	<i>This should be specific as to the level or amount expected and in what time period, if applicable. Some target or standards will change over time and some will not.</i>
Tolerance	<i>If the target does not already include a tolerance, then the amount by which the indicator may vary from the target without causing concern.</i>
Frequency	Reported annually but can be measured at any time
Known Problems	<i>Conditions or circumstances that should be made clear in interpreting the indicator. For example, reasons that a survey might be biased or the unavoidable delays in collecting data that make the indicator somewhat out-of-date.</i>

Custodian	<i>The position or title of the individual in DPRD who will be responsible for the implementation of this indicator. The custodian may have assistance in this responsibility.</i>
Place in Logic Model	Intermediate outcome measure
Rationale	Shows that client departments and agencies are using their ADR capacities
Definition	Average of diversion rates in Objectives Reports in the last 12 months
Unit of Measure	Percentage
Target or Standard	100%
Tolerance	<i>If the target does not already include a tolerance, then the amount by which the indicator may vary from the target without causing concern.</i>
Frequency	Reported annually but can be measured at any time
Known Problems	<i>Conditions or circumstances that should be made clear in interpreting the indicator. For example, reasons that a survey might be biased or the unavoidable delays in collecting data that make the indicator somewhat out-of-date.</i>
Data Source and Contact	<i>Specifications on the records or surveys that go into the calculation or formulation of the indicator. The name of the person (often not the custodian) who provides or extracts the information.</i>
Resource Needs	<i>The costs in human and material terms to produce the indicator.</i>
Initial Data or Roll-out	<i>The date the series of indicator observations is to begin, including any historical data that can be recorded.</i>
Analyst	<i>The person(s) who will interpret each observation, providing explanations and responses as appropriate. This may be the custodian.</i>
Stakeholders	<i>A list of those who should be consulted in the analysis and reporting.</i>

Indicator Name	4. Success rate (avoidance of litigation) of diversions averaged over all diversions
Custodian	<i>The position or title of the individual in DPRD who will be responsible for the implementation of this indicator. The custodian may have assistance in this responsibility.</i>
Place in Logic Model	Ultimate outcome measure
Rationale	Shows that ADR is successful in avoiding litigation and not just delaying it
Definition	Average of successful diversion rates in Objectives Reports in the last 12 months
Unit of Measure	Percentage
Target or Standard	100%
Tolerance	<i>If the target does not already include a tolerance, then the amount by which the indicator may vary from the target without causing concern.</i>
Frequency	Reported annually but can be measured at any time

Known Problems	<i>Conditions or circumstances that should be made clear in interpreting the indicator. For example, reasons that a survey might be biased or the unavoidable delays in collecting data that make the indicator somewhat out-of-date.</i>
Data Source and Contact	<i>Specifications on the records or surveys that go into the calculation or formulation of the indicator. The name of the person (often not the custodian) who provides or extracts the information.</i>
Resource Needs	<i>The costs in human and material terms to produce the indicator.</i>
Initial Data or Roll-out	<i>The date the series of indicator observations is to begin, including any historical data that can be recorded.</i>
Analyst	<i>The person(s) who will interpret each observation, providing explanations and responses as appropriate. This may be the custodian.</i>
Stakeholders	<i>A list of those who should be consulted in the analysis and reporting.</i>

Indicator Name	5. Completion percentage of projects in the annual work plan for ADR in Litigation
Custodian	<i>The position or title of the individual in DPRD who will be responsible for the implementation of this indicator. The custodian may have assistance in this responsibility.</i>
Place in Logic Model	Output measure
Rationale	Indicates the timeliness and quality of projects in this line of business
Definition	Ratio of completed to planned projects
Unit of Measure	Percentage
Target or Standard	100%
Tolerance	<i>If the target does not already include a tolerance, then the amount by which the indicator may vary from the target without causing concern.</i>
Frequency	Reported annually at year end
Known Problems	<i>Conditions or circumstances that should be made clear in interpreting the indicator. For example, reasons that a survey might be biased or the unavoidable delays in collecting data that make the indicator somewhat out-of-date.</i>
Data Source and Contact	<i>Specifications on the records or surveys that go into the calculation or formulation of the indicator. The name of the person (often not the custodian) who provides or extracts the information.</i>
Resource Needs	<i>The costs in human and material terms to produce the indicator.</i>
Initial Data or Roll-out	<i>The date the series of indicator observations is to begin, including any historical data that can be recorded.</i>
Analyst	<i>The person(s) who will interpret each observation, providing explanations and responses as appropriate. This may be the custodian.</i>
Stakeholders	<i>A list of those who should be consulted in the analysis and reporting.</i>

Indicator Name	6. Percentage of client/office groups of Justice Canada legal staff who are adequately enabled to use ADR as appropriate
Custodian	<i>The position or title of the individual in DPRD who will be responsible for the implementation of this indicator. The custodian may have assistance in this responsibility.</i>
Place in Logic Model	Direct outcome measure
Rationale	Indicates the reach or penetration of ADR preparation
Definition	Percentage of groups of litigation staff in Justice Canada who are adequately enabled to use ADR. Should be a systematic assessment based on criteria such as % of staff who are trained or implementation of ADR support system) but subjective impression may be used initially
Unit of Measure	Percentage
Target or Standard	<i>tbd</i>
Tolerance	<i>If the target does not already include a tolerance, then the amount by which the indicator may vary from the target without causing concern.</i>
Frequency	Reported at least annually at year end but can be updated in real time as projects are completed
Known Problems	<i>Conditions or circumstances that should be made clear in interpreting the indicator. For example, reasons that a survey might be biased or the unavoidable delays in collecting data that make the indicator somewhat out-of-date.</i>
Data Source and Contact	<i>Specifications on the records or surveys that go into the calculation or formulation of the indicator. The name of the person (often not the custodian) who provides or extracts the information.</i>
Resource Needs	<i>The costs in human and material terms to produce the indicator.</i>
Initial Data or Roll-out	<i>The date the series of indicator observations is to begin, including any historical data that can be recorded.</i>
Analyst	<i>The person(s) who will interpret each observation, providing explanations and responses as appropriate. This may be the custodian.</i>
Stakeholders	<i>A list of those who should be consulted in the analysis and reporting.</i>

Indicator Name	7. Percentage of disputes diverted to ADR by Justice Canada legal staff from the total population of disputes referred to them
Custodian	D. Menard
Place in Logic Model	Intermediate outcome measure
Rationale	Indicates that ADR is being used by Justice Canada staff
Definition	Percentage of amenable disputes diverted to ADR by Justice Canada legal staff from the total population of disputes referred to them
Unit of Measure	Percentage
Target or Standard	100%

Tolerance	5%
Frequency	Reported at least annually at year end but can be updated in real time as projects are completed
Known Problems	May have to adapt reporting to cover files that have more than one issue
Data Source and Contact	iCase
Resource Needs	Already in iCase plus some time for analysis.
Initial Data or Roll-out	June 2011
Analyst	Business Practices Division.
Stakeholders	BPD Portfolio Analysts

Indicator Name	8. Diversion success rate
Custodian	D. Menard
Place in Logic Model	Ultimate outcome measure
Rationale	Indicates that ADR is being used successfully by Justice Canada staff
Definition	Percentage of disputes diverted to ADR by Justice Canada legal staff that do not end up in adjudication.
Unit of Measure	Percentage
Target or Standard	100%
Tolerance	5%
Frequency	Reported at least annually at year end but can be updated in real time as projects are completed.
Known Problems	Some data may be delayed if there are long delays before trials
Data Source and Contact	iCase -
Resource Needs	Already in iCase plus some time for analysis.
Initial Data or Roll-out	June 2011
Analyst	Business Practices Division.
Stakeholders	BPD Portfolio Analysts

Indicator Name	9. Number of people attending ADR instruction
Custodian	<i>The position or title of the individual in DPRD who will be responsible for the implementation of this indicator. The custodian may have assistance in this responsibility.</i>
Place in Logic Model	Output measure
Rationale	Tracks to reach of the ADR education line of business
Definition	Number of people completing ADR instruction in the last 12 months
Unit of Measure	Number
Target or Standard	TBD
Tolerance	<i>If the target does not already include a tolerance, then the amount by which the indicator may vary from the target without causing concern.</i>
Frequency	Reported at least annually at year end but can be updated in real time as projects are completed

Known Problems	<i>Conditions or circumstances that should be made clear in interpreting the indicator. For example, reasons that a survey might be biased or the unavoidable delays in collecting data that make the indicator somewhat out-of-date.</i>
Data Source and Contact	<i>Specifications on the records or surveys that go into the calculation or formulation of the indicator. The name of the person (often not the custodian) who provides or extracts the information.</i>
Resource Needs	<i>The costs in human and material terms to produce the indicator.</i>
Initial Data or Roll-out	<i>The date the series of indicator observations is to begin, including any historical data that can be recorded.</i>
Analyst	<i>The person(s) who will interpret each observation, providing explanations and responses as appropriate. This may be the custodian.</i>
Stakeholders	<i>A list of those who should be consulted in the analysis and reporting.</i>

Indicator Name	10. Awareness of ADR in Justice Canada legal staff
Custodian	<i>The position or title of the individual in DPRD who will be responsible for the implementation of this indicator. The custodian may have assistance in this responsibility.</i>
Place in Logic Model	Immediate outcome measure
Rationale	Tracks to effectiveness of the ADR education line of business
Definition	Percentage of internal survey respondents self-rating as adequately aware of ADR
Unit of Measure	Percentage
Target or Standard	TBD
Tolerance	<i>If the target does not already include a tolerance, then the amount by which the indicator may vary from the target without causing concern.</i>
Frequency	Reported at least annually
Known Problems	<i>Conditions or circumstances that should be made clear in interpreting the indicator. For example, reasons that a survey might be biased or the unavoidable delays in collecting data that make the indicator somewhat out-of-date.</i>
Data Source and Contact	<i>Survey - Specifications on the records or surveys that go into the calculation or formulation of the indicator. The name of the person (often not the custodian) who provides or extracts the information.</i>
Resource Needs	<i>The costs in human and material terms to produce the indicator.</i>
Initial Data or Roll-out	<i>The date the series of indicator observations is to begin, including any historical data that can be recorded.</i>
Analyst	<i>The person(s) who will interpret each observation, providing explanations and responses as appropriate. This may be the custodian.</i>
Stakeholders	<i>A list of those who should be consulted in the analysis and reporting.</i>

Indicator Name	11. Percentage of staff who are diverting disputes to ADR
Custodian	<i>The position or title of the individual in DPRD who will be responsible for the implementation of this indicator. The custodian may have assistance in this responsibility.</i>
Place in Logic Model	Intermediate outcome measure
Rationale	Tracks to use of ADR
Definition	Percentage of survey respondents who report diverting a dispute to ADR in the last year
Unit of Measure	Percentage
Target or Standard	TBD
Tolerance	<i>If the target does not already include a tolerance, then the amount by which the indicator may vary from the target without causing concern.</i>
Frequency	Reported at least annually
Known Problems	<i>Conditions or circumstances that should be made clear in interpreting the indicator. For example, reasons that a survey might be biased or the unavoidable delays in collecting data that make the indicator somewhat out-of-date.</i>
Data Source and Contact	Survey - Specifications on the records or surveys that go into the calculation or formulation of the indicator. The name of the person (often not the custodian) who provides or extracts the information.
Resource Needs	The costs in human and material terms to produce the indicator.
Initial Data or Roll-out	The date the series of indicator observations is to begin, including any historical data that can be recorded.
Analyst	The person(s) who will interpret each observation, providing explanations and responses as appropriate. This may be the custodian.
Stakeholders	A list of those who should be consulted in the analysis and reporting.

Indicator Name	12. Percentage of staff who have a successful diversion (settled or closed without litigation) during the last year
Custodian	<i>The position or title of the individual in DPRD who will be responsible for the implementation of this indicator. The custodian may have assistance in this responsibility.</i>
Place in Logic Model	Ultimate outcome measure
Rationale	Tracks the successful use of ADR
Definition	Percentage of survey respondents with a dispute that was diverted to ADR and was settled or closed in the last 12 months without litigation
Unit of Measure	Percentage
Target or Standard	TBD
Tolerance	<i>If the target does not already include a tolerance, then the amount by which the indicator may vary from the target without causing concern.</i>
Frequency	Reported at least annually

Known Problems	<i>Conditions or circumstances that should be made clear in interpreting the indicator. For example, reasons that a survey might be biased or the unavoidable delays in collecting data that make the indicator somewhat out-of-date.</i>
Data Source and Contact	<i>Survey - Specifications on the records or surveys that go into the calculation or formulation of the indicator. The name of the person (often not the custodian) who provides or extracts the information.</i>
Resource Needs	<i>The costs in human and material terms to produce the indicator.</i>
Initial Data or Roll-out	<i>The date the series of indicator observations is to begin, including any historical data that can be recorded.</i>
Analyst	<i>The person(s) who will interpret each observation, providing explanations and responses as appropriate. This may be the custodian.</i>
Stakeholders	<i>A list of those who should be consulted in the analysis and reporting.</i>

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From: Francoeur, Michel
Sent: 2012-Jun-10 05:51 PM
To: Dargent, Lise
Subject: FW: Documents
Attachments: ADR PMF Mar 31 v3-3 (clean copy).doc; DRAFT Analysis of Protocol Impacts v.0.7.docx; [REDACTED].docx; Overview of Performance Measurement, Generic.docx

From: Reid, Erin
Sent: Friday, June 08, 2012 4:37 PM
To: Brisebois, Jo-Anne
Cc: Allen, Jonathan; Ménard, Danièle; Francoeur, Michel
Subject: Documents

Hi Jo-Anne,

I have attached a few documents for your reference. These are:

1. *Overview of performance measurement* (I recommend you start with this one) just to provide a very basic summary of what the core components of a performance measurement framework are and how they are developed.
2. The *BMB Report*. Note that this was prepared specifically with me as the main audience so they did not spend time explaining or situating the reporting within basic PM concepts as there were assumed as given. If you have any questions on this, let me know.
3. *Tax Project Analysis*: This was referred to in the meeting and represents an early attempt to put some rigour around analysis of a DR initiative. Note that this is primarily analytical and not grounded within an overall PMF per the practice outlined in the document above as this was a post-mortem exercise. That said, it was aimed at exploring methods and means to analyze variables that we knew would be incorporated into the larger PMF.
4. *Analysis of Protocol Impacts*: This is a document I am currently working on (so please forgive any lingering imperfections and keep in mind that some sections still require clarification and details) to provide some basic guidance to the Tax Law Directorate as part of our efforts under the QRO Project and also with links to the PMF Project. (Note that this document also includes the "overview of performance measurement piece above)

To follow-up on our meeting, I will send you some meeting invites for us to sit down and discuss a bit. I suggest we start with a quick (30 min) meeting to go over the basic idea of performance measurement and then we can follow-up with an overview of the original project plan. I will take a look at your calendar on Monday and send you some suggested times.

Thanks for taking the time to meet with us today. I think it was useful all around. I am always available should you have questions or require any further clarification.

Enjoy the weekend.

Erin

Erin Reid
Senior Analyst | Analyste principal
Dispute Prevention & Resolution Division | Division de la prévention et de règlement des différends

Law Practice Management Directorate | Direction générale de la gestion de la pratique du droit
Management Sector | Secteur de la gestion

Department of Justice
Canada

Ministère de la Justice
Canada

MEMORANDUM / NOTE DE SERVICE

Security classification – Côte de sécurité

Protected B

File number – Numéro de dossier

6010-2

Date

October 22, 2010

Telephone / FAX – Téléphone / Télécopieur

613-957-4643 / 613-954-8030

TO / DEST:

Danièle Ménard,
Director and General Counsel
Dispute Prevention and Resolution Division

FROM / ORIG:

Erin Reid
Senior Analyst

Jonathan Allen
Senior Analyst

Dispute Prevention and Resolution Division

SUBJECT / OBJET:

Development of a Performance Measurement Framework

Comments/Remarques

As discussed in our meeting of October 20, 2010, we are currently working towards the development of a performance measurement framework.

Background

In its May 2007 Report, the Auditor General of Canada observed that Justice should:

- i. ensure that it clearly defines each ADR initiative's objectives and estimates potential cost savings, and
- ii. ensure that it formally reviews the outcome of initiatives against their objectives.

Subsequently, Justice has appeared before the Public Accounts Committee to provide updates on its efforts to respond to the AG Report. The Department noted that it was continuing to work on developing ADR tools, capacity, knowledge and analysis. As an element of this the Department developed the federal experience in mediation project and is engaging in a project to develop a performance measurement framework for ADR initiatives.

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The proposed framework aims to continue to develop the Department's response to the AG Report and to position us to effectively communicate the value of ADR to all stakeholders going forward by providing a series of concrete measurables against which the performance of ADR can be assessed. It should also provide valuable feedback on results to inform future work on ADR within Justice and other government departments.

A Tentative Framework

The proposed framework would follow accepted performance measurement practices. Generally, performance measurement refers to the process of developing measurable indicators in order to systematically track and assess progress made by organizations in contributing to predetermined desired outcomes. This involves establishing a series of outcomes ("desired end states"¹) to which activities ("what we do") and outputs ("what we produce") are directed and then identifying the critical measures ("key performance indicators") that will be used to determine and assess progress against established targets and goals.

Speaking broadly, there are three general areas that can serve as the foundation of the development of a performance story around the use and prevalence of ADR within the federal government. These are:

1. Knowledge of alternative dispute resolution (training, promotion, advisory services, pilot projects/systems design et cetera)
2. Use of alternative dispute resolution (instances of arbitration, mediation, negotiation et cetera)
3. Results of alternative dispute resolution (the "value" of ADR)

The proposed framework would incorporate all three of these elements as taken together they form a flexible but coherent narrative that can be linked sequentially through time, illustrate a causative relationship (knowledge leads to use leads to results) and evoke a relationship of diminishing proximity to central DOJ actors and corresponding increasing degree of interaction with externalities.

The proposed framework would serve as the foundation for an iterative approach to developing and improving the Department's ability to capture and report on the value of ADR. A first set of measures, based on existing tools, resources and data, would be developed in the coming months to respond to immediate needs. In addition, the framework would lay-out a roadmap for developing improved reporting capacity on ADR within Justice over the longer term.

Preliminary Considerations

¹ Performance measurement uses the concept of "outcomes", which should not be confused with the idea of "goals". Outcomes refer to enduring desired end states to which the outputs of activities contribute. These are generally not fully under the influence of the organization and refer to the big picture "why we do what we do".

There are some significant matters that require consideration in order to clarify and inform the development of a performance story for ADR. Key among these is the need to clearly and concisely define the high-level goals and outcomes that will direct the development of performance measures within the framework. This, in turn, involves considering a number of issues such as:

- What are the ultimate goals of ADR?
- What is the ultimate goal of the department in the utilization of ADR?
- What positive impact are we trying to bring about through ADR? For who?
- Are we "counting widgets" or truly seeking to impact behaviour?
- Is this part of a larger "culture change" agenda?
- What is the future orientation of DPRD and how does this impact the scope and focus of the story we want tell?
- How can we work with Justice Regions, Portfolios, clients and other stakeholders (e.g. the CBA)?

Next Steps & Timeline

October 25, 2010	Meeting with iCase to explain project and discuss data	Erin Jonathan Tim St-Jean Ben Guilbert
October 26, 2010	Meeting with Danièle to: - Explanation of the emerging Performance Measurement project - Questions to her on scope/parameters to help us develop the project - Next steps/timeline	Danièle Jonathan Erin Amy
October 26, 2010	Update email to Michel, head's up for remue-ménages	Jonathan
Week of October 26-28, 2010	Meeting with Office of Strategic Planning and Performance Management to explain project, seek views and ensure scope fits within broader departmental projects	Erin Jonathan Veronica Doyle (Performance Management and Reporting) Bill Bedford (Strategic Planning, Risks and Scans)
Week of November 1, 2010	Meet with John Harrison (contractor) pro bono to discuss: - AG report as impetus - status and current scope - his views/proposal	Erin Jonathan
November 2, 2010	LPMD Mgmt Mtg / remue-ménage - Update that project has started - Overview - Explain who is involved (DPRD, BPD, SPPM) - Contractor - Propose next discussion at remue-ménages late-November	Erin and Jonathan to provide points to Danièle for mtg
November, 2010	Proposal from John Harrison	Erin
	Contract with John Harrison (\$22K)	Erin

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		Gisèle
Late November, 2010	Draft framework	John Harrison Erin
Early December, 2010	Review of framework, discussion with BPD, SPPM, Michel)	Erin Jonathan Danièle
December, 2010	Refinement of draft framework	Erin
January, 2011	Presentation of draft framework to LPM.Com? Others? (Before Erin departs Jan/14/11)	
January to end February, 2011	Erin away Further work from John Harrison?	
March, 2011	Presentation/approval of framework? At what level? At what stage? For pilot use in 2011- 2012?	

Note on the "Options Report" on the development of a performance measurement framework for dispute resolution

It was originally prepared as a follow-up to the BMB report scoping out the PMF and was intended to provide senior management with a series of options for the development of the PMF and to outline challenges, risks and opportunities for each option.

The options report was ultimately not finalized. At a series of "brainstorming sessions" with LPMD management during spring of 2011 this options were discussed in detail and ultimately the decision was made to approach management with a single proposed option.

The option selected (referred to as Option 3 in the report) is reflected in the presentation made to LPM.Com on June 14, 2011.

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Options for the development of a performance measurement framework for
Appropriate Dispute Resolution
To respond to the 2007 Report of the Office of the Auditor General of Canada

Dispute Prevention & Resolution Division

Law Practices Management Directorate
Management Sector
Department of Justice

April 2011

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Executive Summary

- DPRD is continuing to work towards the development of a performance measurement framework (PMF) to respond to concerns raised in the 2007 Report of the Auditor General of Canada (OAG).
- The project team and BMB Consulting have explored three main elements for inclusion in the PMF (1. ADR initiatives of client departments; 2. Use of ADR in litigation; 3. whole of government approach).
- We present several options for implementation of the PMF in light of the requirements of the project and recent concerns over the proposed timeline; however, we recommend an option (identified as Option 3) that includes the first two elements, but omits the third.
- The Recommended Option would follow the original timeline for full implementation at the end of fiscal year 2014-15 with interim deliverables between now and then as systems and methodologies are fully developed and tested.
- Regardless of the option ultimately implemented, the respective roles and accountabilities of Justice and client departments in ADR initiatives needs to be part of the story and is a cornerstone of properly responding to the OAG.
- Implementation of the performance measurement project is contingent on a variety of activities external to the project. Senior management support for these activities and initiatives is a condition precedent to the success of the PMF.

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Introduction

We are continuing to work towards the development of a performance measurement framework (PMF) to respond to concerns raised in a 2007 Report of the Auditor General of Canada (OAG).

What follows is a brief description of elements of the PMF that have been scoped out for further consideration. Before the project team can continue to develop the PMF we are seeking input from management in LPMD and the department more broadly in determining which of the identified elements should be included and which specific implementation option best meets the needs of the department.

To assist in this determination, we begin by briefly summarizing the findings and analysis to date and present a series of options along with implications, risks, challenges and benefits of each.

Background

In May of 2007, the OAG released a report to the House of Commons. Chapter 5 of this report, entitled "Managing the Delivery of Legal Services to Government—Department of Justice Canada" (the OAG Report), presented the findings of an audit of the Department of Justice.

With specific regards to ADR, the OAG observed that Justice should:

- i. ensure that it clearly defines each ADR initiative's objectives and estimates potential cost savings, and
- ii. ensure that it formally reviews the outcome of initiatives against their objectives.

Subsequently, Justice has appeared before the Public Accounts Committee (PAC) to provide updates on its efforts to respond to the OAG Report. The Department noted that it was continuing to work on developing ADR tools, capacity, knowledge and analysis. As an element of this the Department developed the federal experience in mediation project and committed to engage in a project to develop a performance measurement framework for ADR initiatives. The present work aims to provide the means, methods and options available to fulfill this commitment.

In December of 2010, DPRD engaged BMB Consulting Inc. (BMB) to assist in scoping out and beginning to develop elements of the PMF. Their final draft report was provided on March 31, 2011 (the BMB Report).

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Core Elements

In their final report, BMB identified 3 core elements for potential coverage within the PMF. These are:

- (i) *ADR Initiatives of client departments*
This includes:
 - Initiatives undertaken by client departments to establish ADR systems and processes and on which DPRD provides system design and legal advisory services.
- (ii) *Use of ADR within Justice in the course of litigation and associated tools and training*
This includes:
 - The use of mediation, arbitration, negotiation and other ADR mechanisms to resolve litigation through means other than final disposition by the courts.
 - Associated skills development within the department and across government, mainly in the form of training currently offered by DPRD.
- (iii) *The status of ADR in other departments and the federal government as a whole (a "whole of government" approach)*
This includes:
 - An identification of ADR programs within and across the federal government aimed at identifying the level of saturation of ADR within government.
 - An analysis of the "maturity" of ADR within federal government departments.

More specifically, BMB made the following six recommendations:

#	Recommendation
1	As a direct response to the OAG observations, Justice Canada should develop a standard, consistent methodology for estimating the costs and benefits of the initiatives. The suggested measures should be tested with one or more existing projects.
2	The resulting indicators should be incorporated into a manual or tool kit that client departments and agencies will use to negotiate assistance from Justice Canada and report the results.
3	Refine the definitions and documentation of the dozen suggested indicators covering the three lines of business of DPRD.
4	Begin work on some of the major data sources implied by the suggested indicators including: <ol style="list-style-type: none"> a. Database or inventory of all the programs in the federal government that generate or handle disputes and how they do it

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	<ul style="list-style-type: none"> b. Survey of Justice Canada employees on ADR knowledge c. Modifications to iCase to expand the scope of data collection and analysis.
5	Confirm the feasibility of reporting on as many as possible of the suggested or revised indicators by collecting current and historical data for initial test reports.
6	Implement a qualitative maturity model approach to assessing the status of ADR in relevant departments and agencies. The results can be summarized into quantitative measures.

Overview of Options

The project team has analyzed the report prepared by BMB and distilled their recommendations into a series of options for implementation.

Note that the options presented are sequential and linear. Rather than being exclusive of one another, each option represents a potential stopping point, with subsequent options incorporating earlier ones but for minor variations as noted.

The decision is therefore not how we respond per se, but more how far do we go in our response.

The options are summarized in the following chart along with identified sub-elements required to implement them. These are discussed in more detail below.

The Recommended Option (3) is flagged in red.

Element	Sub-Elements	Option 1	Option 2	Option 3	Option 4
ADR Initiatives	Guide to PMF in ADR Initiatives	✓ Yes	Yes	Yes	Possible
	Testing of Guidelines	No	Yes	Yes	Possible
ADR in Litigation	Comparators	No	Yes	Yes	Possible
	ADR in litigation	No	No	Yes	Possible
	Training / Tools	No	No	Yes	Possible
Whole of Government	Inventory of ADR Programs	No	No	No	Yes

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Roles & Responsibilities

As noted in the report prepared by BMB Consulting:

[R]esponding to the OAG Report and establishing a PMF for ADR requires a clarification of interests, roles and responsibilities and associated accountabilities. While Justice is interested in tracking the successful implementation of ADR initiatives of client departments as part of responding to the OAG, ultimate accountability for these initiatives lies with these client departments. Justice accountabilities for ADR rest primary in the use of ADR in the context of the management of litigation on behalf of client departments. Disambiguation of these two distinct elements of ADR is necessary in order to mitigate confusion that has occurred in the discussions among Justice, the Office of the Auditor General, Public Accounts Committee and others in the past.

During the course of scoping out the PMF, the project team has had the opportunity to discuss with various colleagues at Justice. These conversations have generally suggested that the information provided to the Auditor General and subsequent engagements with PAC were coloured by a lack of contextual information that may have led to misunderstandings over the precise role of Justice in the development and implementation of ADR initiatives within client departments and a corresponding view that failed to adequately appreciate the division of accountability between Justice and client departments.

Regardless of the option ultimately chosen, clarification of this issue is likely to be a condition precedent to successfully responding to the concerns of the OAG and others.

Beyond a matter of context, a clarification of roles and responsibilities is required as this issue directly impacts and constrains Justice's ability to respond to the OAG. Unlike programs over which it has direct control and management, ADR initiatives are generally programs of client departments. This has the effect of limiting Justice's ability to impact how these programs are established, evaluated and managed and also restricts the availability of data that forms the foundation of any performance measurement strategy. Further, as Justice currently responds on a demand basis to requests for assistance, the project team is required to anticipate the needs and form of future as-of-yet unrealized projects in establishing the parameters of the PMF. While we can draw on best practices and experience to guide our work, the application of performance measurement principles to hypothetical future programs is atypical, though not impossible, as we have aimed to illustrate.

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Options

Option 1 (Not recommended): *Limit response to the development of a Guide to Developing and Implementing Performance Measurement in ADR Initiatives*

Under this option, Justice would produce a Guide to Developing and Implementing Performance Measurement in ADR Initiatives (the Guide) for the use of client departments in the course of establishing and monitoring ADR initiatives. This guide would contain best practices and options to address the key elements recommended by the OAG report (establishing objectives, key indicators, logic models) and propose methodology for their application, analysis and monitoring.

The Guide would be made available to client departments and promoted as one of DPRD's standard tools.

Narrative Implications

In responding to the OAG report, Justice would hold that per the recommendations, the Department has provided the means to client departments to clearly establish the objectives of the initiatives under the Guide. However, whether stated implicitly or explicitly in our response, this response hinges on the assertion that the relationship between Justice and client departments is such that successful application of the PMF contained within the Guide is ultimately the responsibility of client departments.

This represents the most hands-off approach of available options.

Pros

- Would be the quickest option and could likely be completed within a year, possibly sooner if appropriate expert services were retained to assist in developing best practices and models.
- Provides an evergreen internal resource for DPRD, mitigating against reliance on specific personnel to retain adequate performance measurement ability.
- Encourages the development of consistent analytical methodologies on performance measurement allowing for potential future comparison and trend analysis between and across different initiatives.

Cons

- Contains a weak Justice "story" on ADR and opens the Department up to questions on its own activities related to ADR without providing any information thereon.
- Could be perceived as too minimal an effort to constitute a proper response to the OAG report especially in light of past representations to PAC.
- Uptake by client departments is entirely voluntary; consequently, Justice has no way to ensure that the recommendations of the OAG Report are ultimately implemented.

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Option 2 (Not recommended): Limit response to the development of Guide to PMF of ADR Initiatives and trial collaborative testing with client departments

As above, Justice would develop the Guide to Implementing Performance Measurement on ADR Initiatives. However, this option would go further. Rather than merely making the Guide available we would work with client departments in trial applications of the PMF. With the cooperation of clients, the results of these trials would form the basis of our response to the OAG Report.

This could be done with or without the development of comparator data (see below for more on this); however, in order to assist in the actual implementation of the Guide it is suggested that it would be more effective to pair this with the development of comparator data.

Narrative Implications

In responding to the OAG Report, Justice would hold that per the recommendations, the Department has provided the means to client departments to clearly establish the objectives of the initiatives under the Guide.

Unlike the above option, which necessarily takes a more restrictive view of the role of Justice in ADR initiatives, this options is flexible enough to accommodate a broader understanding of this relationship. Justice could assert that the relationship between Justice and client departments is such that successful application of the PMF contained within the Guide is ultimately the responsibility of client departments; however, we would recognize that there is a limited role for the department based on its ability to provide expert advice and assistance to clients. Alternatively, engagement could be presented as a goodwill gesture in light of the OAG Report and the department's willingness to assist and make good on its commitments, even where this brings us slightly outside of our day-to-day activities.

Pros

- Responds directly to the recommendations of the OAG report.
- Allows for a flexible interpretation of the relationship between clients and Justice on ADR.

Cons

- As above, Justice has no ability to compel client departments to follow the recommendations of the OAG. The BMB Report has suggested that one possible remedy for this is to have the adoption of the PMF methodology as a condition to the advisory services of DPRD; however, this could have a significant chilling effect on department's desire to work with Justice on these initiatives and could be perceived as heavy-handed.
- The testing of the guidelines is one of the longest element of the PMF and will require a multi-year approach to develop, test and refine as DPRD engages with clients between now and the end of FY 2013-14.

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Option 3 (Recommended): *As Option 2, but with supporting data on element 2 (ADR in litigation)*

As with Option 2, this option would entail developing a Guide to Implementation of Performance Measurement in ADR initiatives and working closely with client departments in future ADR systems designs to test and refine it.

In addition, we could collect and analyze information on the use of ADR within litigation in iCase according to anticipated changes to the data collection system currently planned for implementation by BPD. We would also collect and analyze information on training and the development of related tools on ADR within Justice.

Lastly, we would develop comparator data of costs to allow for an evaluation of costs between ADR and traditional litigation; however, in this instance the comparator data would be applied to the use of ADR in a litigation context as well as client led ADR initiatives.

Narrative Implications

Like Option 2, this option is flexible enough to accommodate a broad understanding of the relationship between Justice and clients; however, it is about responding to the concerns of the OAG while also trying to tell more of the Justice "ADR story". Implicit or explicit in this is the idea that the dialogue to date has been, if not inaccurate, incomplete. By incorporating increased information on core Justice ADR activities, we are highlighting the primary role of client departments on ADR initiatives while drawing attention to the fundamental ADR role of Justice as one that is triggered in the context of litigation.

Further, by incorporating a wider array of Justice ADR activities we are creating present and future flexibility in the narrative to allow for a more nuanced approach to the issue of ADR in Justice.

Despite the flexibility available under this option, the recommended route would be to deal with the issue of roles and responsibilities directly and that this option provides the best means to do so. By providing examples, along with associated performance metrics, that fall along a spectrum of ADR activities we can better illustrate the differences in responsibilities in a variety of spheres.

Pros

- Most closely mirrors the dialogue to date with PAC on responding to the OAG report
- Answers the OAG report concerns directly, but highlights the core role of Justice along with supporting data.
- Provides a more fulsome set of data and analysis about ADR generally within Justice that is flexible enough to tell a more expansive and detailed story

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- Inclusion of "tools and training" allows for the ad hoc inclusion of more narrative qualitative analysis
- Leverages existing and planned work within the Department that buttresses the PMF without incurring significantly more cost in terms of effort or time.
- Builds in a story of ADR that allows for increased linkages to other aspect of the Departmental approach to the management of litigation (for example Legal Risk Management and access to justice issues)

Cons

- Opens up Justice to potential increased scrutiny on areas related to ADR in the department
- Involves a variety of "moving parts" that renders overall management of the project more complex
- Increases interdependencies and linkages with other projects in Justice, thereby requiring increased buy-in and participation of a wider number of Justice staff.
- Data analysis will be complex and require significant time for the development of methods and baselines.

Option 4: the Limits of Legal Services

In developing the proposed element of the PMF, there was considerable debate about the appropriate scope of the project in light of the concerns of the OAG, the comments of PAC members, the needs for Justice to provide a clear and coherent narrative on the use of ADR and the fundamental logic of performance measurement.

Option Zero The division of roles and responsibilities could lead one to consider an entirely different option: *do nothing*. It is open to the department to return to the centre and make the argument that in light of the misunderstanding over appropriate roles, responsibilities and accountabilities, it would in fact be inappropriate for Justice to follow the recommendation of the OAG Report as this would amount to an infringement on client departments that could, perhaps, be damaging to the division of responsibilities envisioned between Justice and client departments and seen as undermining or distracting Justice from its core mandate. Reactions from the centre and others would have to be considered. As the project team is not positioned to speculate on the advisability of adopting such a position at this point we remain mute on this option; however, should there be concerns about mandate slippage or strategic over-reach this could be a viable option.

The consultants, regarded experts in the field of performance measurement, consistently noted that a mature ADR PMF would seek to look beyond the impacts of individual initiatives and towards a more fulsome analysis of the state of ADR across government. Operationalizing this would require attempting to determine the saturation of ADR (are we using ADR everywhere we could be?) and the level of sophistication in ADR techniques (are we doing ADR well?) across government. The BMB Report suggests various methods of getting at these ideas.

Even assuming "whole of government" reporting on ADR is desirable, implementing such a system would be extremely resource intensive and is beyond the current capacity of the project team.

Even if this is properly within the role of Justice, and it certainly may not be, such an undertaking would be a complex and time consuming. It is, however, not outside the realm of possibility that PAC, the OAG or others might turn their minds to this issue in the course of examining the response to the OAG. The Department should consider how it would respond to such inquiries.

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There are several options open to the department in responding. These turn on differing views of the department's role and, ultimately, the definition of the "provision of legal services".

- (i) *"Whole of Government" reporting on ADR is outside the scope of Justice responsibilities*

Taking a narrow view, Justice could argue that the "whole of government" reporting on ADR is outside the scope of its responsibilities. Ultimately, this rests on a narrower view of the provision of legal services to government in which the role of Justice vis-à-vis ADR is triggered only once litigation has been filed or in the context of legal advisory services provided to departments on demand.

- (ii) *"Whole of government" reporting on ADR is within the scope of Justice responsibilities*

Justice could acknowledge that in theory such an exercise may lie within its bailiwick but note that for the moment there are significant barriers to realizing such a project.

- (iii) *Responsibility for "whole of government" analysis and reporting on ADR is shared or unclear.*

Justice could seek to consult with the Treasury Board Secretariat (TBS) as perhaps this matter is better seen as within the sphere of TBS mandate or as a matter of joint concern upon which the departments could collaborate in the future. As this matter cuts to the core of the departmental mandate, small shifts could have a disproportionate impact in the long term, requiring detailed consideration. Justice and Central Agencies will likely wish to carefully consider this issue before embarking on any large scale analysis of ADR.

Regardless of the approach adopted, BMB was clear in our conversations that their experience suggests that serious consideration should be given to attempts to "get out in front" of this issue. The project team is inclined to agree with this recommendation. Proactive engagement with the center and others will allow Justice to be seen as responding to the needs of clients, positively engaged in attempts to clarify ambiguities, and dedicated to the provision of fulsome legal services to government. Conversely, failure to act leaves the Department open to knee-jerk or unilateral action by client departments and the centre at a time in which resources expended on legal services are under increased scrutiny. The scope and magnitude of this are well beyond the PMF and the ability of the project team to address; however, these larger contextual issues are likely to impact the perception of the results of the project.

In light of the above, the project notes that there is an additional option:

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Option 4 (Not recommended): *As any of Options 1-3, but with an additional element dealing with "whole of government" use of ADR*

Narrative Implications

This would depend on the option selected as discussed above.

Pros

- Would allow for a sophisticated analysis and understanding of the state of ADR across the federal government
- Could support further expansion of ADR across the government with potential time and cost savings for client departments and Justice

Cons

- Extremely resource and time intensive.
- Could be perceived as overstepping appropriate Justice role.
- Implementation would likely be extremely complex and would rely heavily on cooperation of client departments absent direction/management by Central Agencies.
- Could raise unrealistic expectations regarding Justice's ability to reduce the costs of legal services or disputes more broadly.

Baselines & Comparisons

The OAG Report stressed the need to ensure that the cost benefits of ADR initiatives are estimated and that success in achieving these objectives is evaluated once a program or initiative is implemented. Estimating potential cost savings requires baselines and comparator data against which the results of ADR can be assessed.

In collaboration with RSD, BPD and others, we are working to explore the feasibility of providing a series of comparative costs and/or establishing baselines which will assist in estimating the value of ADR, both in the context of litigation and ADR initiatives, and which provide the means to evaluate cost savings when realized.

This involves determining approximate mean costs, time and level of effort for typical civil litigation processes against which we can then compare similar measurement in matters that employ various ADR processes and techniques. At the moment, this is still in the exploratory stage.

There are linkages with the work of Legal Risk Management and on issues related to access to justice and we will work to ensure that we are operating in coordination with others in the department in this area. The participation of RSD, or some other expert resource, is critical to this sub-element of the framework as this will require a high degree of competency with statistical methodologies in order to ensure that the

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resulting data can withstand scrutiny and lead to meaningful results. We are currently in discussions with RSD to gauge their availability; however, they face considerable resourcing pressures. In the alternative, we could examine the possibility of hiring external expertise.

I n t e r d e p e n d e n c i e s

Fundamentally, the successful completion and implementation of the performance measurement project is contingent on a variety of activities external to the project team. While we now have a theoretical model we are now working towards developing and implementing the systems required to gather and analyze the data along with associated roles, responsibilities and methodologies. While the PMF project team will play a key role in this, there are others in the department whose participation is critical to this phase of the project.

In the first instance, in order to provide adequate time for testing and application of the PMF in ADR initiatives, we will need to ensure that DPRD engages with client departments on a number of initiatives over the next few years. While we anticipate that there will be sufficient projects, we do note that uptake on testing of the PMF is entirely voluntary and consequently, there is always a risk that client departments will be unwilling to participate.

Further, as we move from concept to implementation, several units within Justice become key partners and engaging them further is seen as a condition precedent to successful implementation. These include SPPM, Business Practices Division (BPD) and Research and Statistics Division (RSD), Legal Risk Management (LRM) and others.

In all instances, the support of management is essential. Proper prioritization and resourcing of interdependent initiatives is required to ensure that current timelines are met and that the project can be successfully completed by FY 2014-15.

T i m e l i n e s f o r I m p l e m e n t a t i o n

Full implementation is expected to be complete by the end of 2014-15. Timelines for implementation of interim steps and sub-elements remain somewhat speculative at this stage. This is generally a result of ongoing questions around availability of resourcing. The project "team" at the moment consists of one analyst, with support from others within DPRD. In addition, several others within Justice more broadly have provided ad hoc support; however, in the long term current resource level will likely be insufficient for the full term of the project. In light of existing resource pressures, the current project team will begin to develop elements of the project and resourcing will be revisited at a later date.

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Resourcing should go somewhere earlier...

[Still considering adding in a bit more on resources here. While I have used the term "project team" throughout the reality is that it is basically me, with some back up here and there. The timelines presented below seem long in some parts, but - baseline challenges aside - realistically if it is just me with some assistance from Amy and some intermittent help here and there from others in the department, this is a lot to do and ultimately we will need to make it clear that more resources will be required. There is room for a pitch here, I think.]

Sub-Elements	Estimated Timelines
Guide to PMF in ADR Initiatives	<p>Draft by end of Q3 FY 2011-12 [NOT SURE THIS IS FEASIBLE... need to consider this...]</p> <p>Consultations with small number of key stakeholders Q4 2011-12</p> <p>Final Draft Q1 2012-13</p>
Testing of Guidelines	Ongoing from Q2 2012-13 to end of Q3 2013-14
Comparators & Methods	Draft methodology by Q2 FY2012-13, with refinement of data model until Q4 FY 2012-13 along with test data based on iCase data. Further refinement/development of analytical methods as test applications are ongoing until Q3 2014-15
ADR in litigation	iCase changes currently planned for implementation in Q2 of 2011-12. Note that consideration of application of new data fields to "legacy" files is ongoing; however, in the absence of this it is likely to take 2 years to generate a sufficient data set (3-5 years would be better, but not feasible at the moment; this will need to be discussed with the appropriate statistics expert).
Training / Tools	Modification of current survey techniques for DPRD training to be complete by end of 2011-12 and implemented in time to capture 2012-13 training cycle. First reporting of new data by end of 2012-2013
Inventory of ADR Programs / Maturity Model	Unknown. The project team estimates that this would take 3-5 years at absolute minimum, depending on resources assigned. Well beyond the scope of current resourcing levels. If desired, resourcing needs could be estimated and provided at a later date.

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Originator

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Dispute Prevention & Resolution Division
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Version Control (remove from final)

Version	Changes	Who	Date
Version 1.0	Initial drafting of "Long Version"	ER	April 4, 2011
Version 2.0	Long Version, semi-complete	ER	April 8, 2011
Version 3.0	First "short version", comment integration	ER	April 11, 2011
Version 4.0	Draft for distribution for LPMD Brainstorming	ER	April 18, 2011
Version 4.1	Post brainstorming	ER	April 20, 2011

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Annex A:

Excerpt from the OAG Report

Report of the Auditor General of Canada to the House of Commons

Chapter 5 Managing the Delivery of Legal Services to Government— Department of Justice Canada

At pages 8-9:

Management improvements are required for alternative dispute resolution initiatives

5.21 In our 1993 audit we noted that the Treasury Board approved recommendations arising from the first phase of the joint review of the justice and legal system and recommended the Department review alternative dispute resolution mechanisms as a means to reduce costs.

5.22 In this audit we found that Justice Canada, in conjunction with client departments, has implemented a number of alternate strategies to litigation over the years in order to avoid costly court processes. We assessed five strategies:

- the Competition Bureau's use of Alternate Case Resolution,
- Fisheries and Oceans Canada's project for Controlling Prosecution Costs,
- Indian and Northern Affairs Canada's Saskatchewan Treaty Land Entitlement Settlement program,
- Justice Canada's pilot project in its Prairie Region to promote mediation in Alberta for resolution of litigation files, and
- the establishment of the Canadian Food Inspection Agency's centre of expertise on Dispute Resolution to avoid litigation by using alternate dispute resolution.

5.23 We expected each of the initiatives to have clear objectives, scope, reasonable timelines, adequate resources, and ongoing monitoring and review mechanisms in place, and that the initiatives were implemented within the timelines established and within budget.

5.24 We found that most of the documentation on the initiatives lacked clear objectives and estimates of potential cost savings. We did not find an identified project management structure that would guide the

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initiatives, and there was no formal review of outcomes against the original objectives.

5.25 Recommendation. In addition to its current management of alternative dispute resolution initiatives, Justice Canada should ensure that it clearly defines each initiative's objectives, estimates the potential cost savings and formally reviews the outcome of initiatives against their objectives.

The Department's response. The Department agrees with the Auditor General's recommendation, which is consistent with the recent review of the Department's dispute resolution initiative that has resulted in a new mandate focused on providing services to departments supporting long-term prevention and early resolution of disputes. These client-focused services include systems design, legal advisory support, and training, all of which are linked to the departmental priorities of improving practice management and managing the volume of litigation.

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MANAGEMENT ACTION PLAN FOLLOW-UP INTERNAL AUDIT BRANCH

AUDIT NAME: REPORT OF THE AUDITOR GENERAL OF CANADA 2007

**OAG Audit Recommendation # 5.25 - 2
Report 2007-05 – Chapter 5**

Risk Ranking:

Managing the Delivery of Legal Services to Government – Department of Justice Canada

In addition to its current management of alternative dispute resolution initiatives, Justice Canada should ensure that it clearly defines each initiative's objectives, estimates the potential cost savings and formally reviews the outcome of initiatives against their objectives

Management Response and Action Plan

The Department agrees with the Auditor General's recommendation, which is consistent with the recent review of the Department's dispute resolution initiative that has resulted in a new mandate focused on providing services to departments supporting long-term prevention and early resolution of disputes. These client-focused services include systems design, legal advisory support, and training, all of which are linked to the departmental priorities of improving practice management and managing the volume of litigation.

Last Update (June 2012)

2. Development of Performance Measurement Tools for Dispute Resolution Initiatives

In 2011-2012, the Department of Justice continued to advance its multi-year project aimed at developing performance measurement tools for DR initiatives.

A draft Performance Measurement Framework (PMF) was developed in June 2011. The PMF contains a number of elements aimed at ensuring that Justice has systems in place for regular reporting on DR, ongoing and methodologically sound analysis of the value of DR, and information to support operational decision-making on DR in the management of the litigation inventory. In addition, the framework aims to ensure that client departments will have support and advice from Justice in the use of performance measurement in their own DR programs and initiatives.

The following key elements of the PMF were developed in fiscal year 2011-2012:

- A preliminary methodology for quantifying and understanding the impact of various DR mechanisms;
- Tools to capture the impact of training and knowledge transfer; and
- A draft Guide to Performance Measurement in DR initiatives. (The Guide will be finalized and launched in 2012-2013.)

Several different initiatives are underway to support the development of a DPR performance management regime.

At the request of AMREC, timelines and deliverables were re-examined with the objective of accelerating the work to respond to the Auditor General's specific recommendation. A new work plan is being developed for approval by the end of July. Consideration on future priorities will be re-examined in the context of the Economic Action Plan 2012.

Assessment Level: Level 3 - Preparations for implementation

Update:

☐

Level 1 (No or insignificant progress)

☐

Level 4 (Substantial Implementation: structures in place, some results achieved, short-term plan for full implementation)

☐

Level 2 (Planning Stage: plans created & approved)

☐

Level 5 (Full implementation – Structures & processes operating as intended and are fully implemented)

☐

Level 3 (Preparing to implement: hiring/training/developing/acquiring resources to implement)

☒

Obsolete (Department considers the recommendation obsolete or no longer applicable)

Current Status as at March 31, 2013 (please provide details on progress against the management action plan):

Coordinator Name:	Jo-Anne Brisebois	Tel#:	(613) 957-4220
OP:	Patrick Vézina	Tel#:	(613) 957-4670
Also sent to:			

**MANAGEMENT ACTION PLAN FOLLOW-UP
INTERNAL AUDIT BRANCH**

AUDIT NAME: REPORT OF THE AUDITOR GENERAL OF CANADA 2007

At the time of the audit, strategies examined by the OAG related to a DR Fund which had been approved by Treasury Board. The DR Fund is no longer in place. This recommendation is therefore considered obsolete.

Estimated Date of Completion:

Coordinator Name:	Jo-Anne Brisebois	Tel#:	(613) 957-4220
OPI:	Patrick Vézina	Tel#:	(613) 957-4670
Also sent to:			

S E R V I N G C A N A D I A N S



DEPARTMENT OF JUSTICE

Performance Measurement Framework for Dispute Resolution Presentation to the Law Practice Management Committee

Danièle Ménard, Director and General Counsel
Erin Reid, Senior Analyst
Dispute Prevention and Resolution Division

June 14, 2011
Ottawa, Ontario



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Canada

Department of Justice
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- Background: Impetus
- Needs
- Expected Results
- Elements of the Framework
- Timelines & Deliverables
- Benefits of the Approach



Background: Impetus

- Justice has regularly faced questions on the use and value of dispute resolution (DR).
 - The May 2007 report of the Office of the Auditor General of Canada (OAG) recommended that Justice should:
 - i. ensure that it clearly defines each DR initiative's objectives and estimates potential cost savings, and
 - ii. ensure that it formally reviews the outcome of initiatives against their objectives.
 - Subsequently, Justice has appeared before the Public Accounts Committee to provide updates on its efforts to respond to the OAG Report and committed to develop a performance measurement framework (PMF) for DR initiatives.
-



Needs

1. Justice needs to show that it is measuring itself against clear objectives in the use of DR.
2. Managers need information to demonstrate the value of DR and support for decision-making on risks, resources and objectives, including DR.
3. DPRD needs data on the use of DR to inform current and future work.



Expected Results

- Justice will have:
 - Systems in place for regular reporting on DR;
 - Analysis of the value of DR for internal use and for discussions with Central Agencies;
 - Information to support operational decision-making on DR in the management of the litigation inventory.

- Client departments will have:
 - Support and advice from Justice in the use of performance measurement in their own DR programs and initiatives.



Elements of the Framework

1. Guide to Performance Measurement in DR Initiatives

- Overview of the concepts and components of performance measurement, methodologies for quantifying the value of DR (including cost projections), and templates for connecting desired outcomes with results through the use of concrete measures.
- Once drafted, DPRD will work with client departments to test the guide by applying it to future DR initiatives as part of on-going systems design and advisory services.

2. Expanded Data Collection on DR in Litigation

- Develop reporting capacity on the use of DR in litigation based on changes to iCase data collection being implemented by the Business Practices Division.
- This will allow us to report on and analyze the use of various DR techniques (mediation, arbitration, negotiation et cetera) across the department on an on-going basis for the first time.



Elements of the Framework

3. Comparator Data

- Develop baselines and models on the “typical” cost of litigation for use as comparator data to quantify the cost-savings and efficiencies achieved through the use of DR.
- Would allow for the comparison of DR initiative costs against those typically incurred in litigation files as well as between various DR options in litigation.

4. Performance Data on Training & Tools

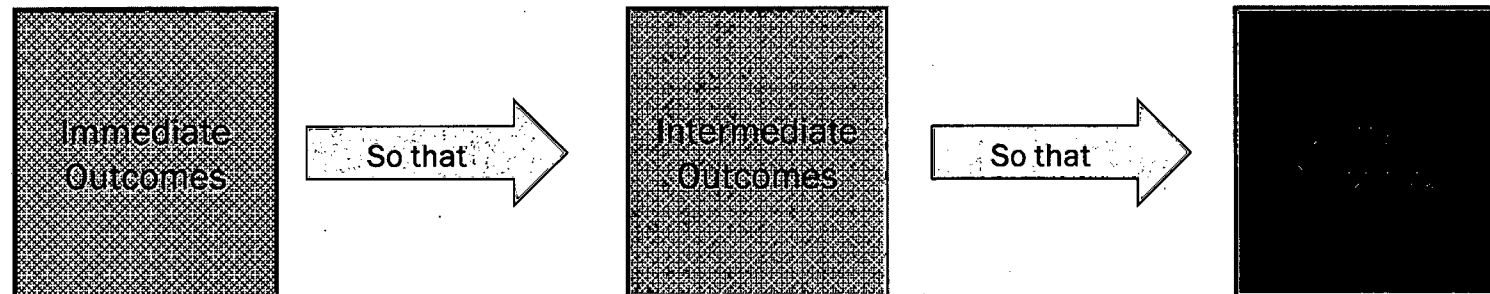
- Expand current reporting on DR training and tools development within DPRD to support the appropriate use of DR within Justice.
- New data would look to capture the impact of training on *behaviour* (did training result in counsel more carefully considering the use of DR?) and *results* (did this consideration result in actual increased use of DR?).



Elements of the Framework

5. Final Report & Logic Model

- Final Report to bring together all the elements following recognized performance measurement approaches and standards.
- Populate “logic model” that includes all Justice DR activities and accountabilities and tracks progress against established outcomes.



For example:

Justice Canada staff are knowledgeable about where, when and how to apply DR

For example:

Justice Canada staff employ DR effectively and appropriately to resolve disputes

For example:

Disputes are resolved in a timely and cost efficient manner



Deliverables by Fiscal Year

2011-12	<p>Implementation of new data collection on DR in iCase</p> <p>Q1-Q2: Senior Management Endorsement</p> <p>Q3-4: Draft Guide</p> <p>Q4: Model for increased capture of data on training</p>
2012-13	<p>Q1: Consultations on Draft Guide</p> <p>Q2: Final Draft of Guide</p> <p>Q3-4: Final Report on Development of Comparator Data</p> <p>To date compilation of use of DR in litigation</p> <p>First annual report on training, including expanded data</p> <p>Annual Report with summary of results to date</p>
2013-14	<p>Preliminary analysis of Guide Testing results to date</p> <p>To date compilation of use of DR in litigation</p> <p>Second annual report on training, including expanded data</p> <p>Annual Report with summary of results to date</p>
2014-15	<p>Continued Testing of Guide</p> <p>Q3-4: Compilation of results & population of logic model as part of Final Project Report</p>





Benefits of the Approach

- Provide flexibility to adjust as data becomes available and we begin to test assumptions around the use of DR “in the real world”.
- Establish core data collection processes that will provide DR data in perpetuity to support long-term and on-going trend analysis.
- Respond to the concerns of the Auditor General.
- Establish clear links between DR activities and outcomes that support the delivery of the Departmental mandate.
- Support government emphasis on “managing for results”.

SERVING CANADIANS

DEPARTMENT OF JUSTICE

Response to the 2007 Auditor General Report Recommendations ¹ on Dispute Resolution: Revisiting the Approach

Dispute Prevention and Resolution Division
June 18, 2012

Presented by:

Michel Francoeur, Director General and Senior General Counsel, Law Practice Management Directorate

Danièle Ménard, Director and General Counsel, Dispute Prevention and Resolution Division

Jonathan Allen, Deputy Director, Dispute Prevention and Resolution Division

Erin Reid, Senior Analyst, Dispute Prevention and Resolution Division



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Goal of Briefing

- Explain the history of DPRD's work in response to the 2007 Office of the Auditor General (OAG) recommendations on performance measurement of dispute resolution initiatives
- Provide an overview of the "textbook" theory and components for performance measurement (i.e. what it is and how to do it)
- Detail the Performance Measurement Framework (PMF) project endorsed by LPM.Com in June 2011
- Propose an action plan for a new accelerated and reduced Performance Measurement Project in response to the current need to reduce timelines. The new project will replace the LPM.Com project; this briefing will explain pros and cons and how risks associated with accelerating the project will be mitigated



Outline

Part 1: 2007-2009

- OAG Report and Deputy Minister response at the Standing Committee on Public Accounts
- Response Phase I: *Analysis Framework of the DM Commitment to Analyse the Federal Experience with the Use of Mediation Report* (also referred to as the "DM Commitment Project") and Lessons Learned

Part 2: 2010-2011 and early 2012

- DPRD's HR and Business Renewal
- Context: Performance Measurement "101" and "How-to" of Performance Measurement
- Development of Options & Recommendations
- Synopsis of Original Approach
- Work completed to date on LPM.Com PMF

Part 3: 2012-2013

- Revisiting the Options to Accelerate the Project
- Accelerated Action Plan
- Pros/Cons of new project
- Risks of new project and plan to mitigate risks

→ 2013-14
2014-15

Part 4: Next Steps

Part 1: 2007-2009

4

May 2007 OAG Report:

- Section 5.25 contains two aspects:
 - “current management of alternative dispute resolution initiatives” and
 - “In addition...Justice Canada should ensure that it clearly defines each initiative’s objectives, estimates the potential cost savings and formally reviews the outcome of initiatives against their objectives.”

April 2008 Deputy Minister response at the Standing Committee on Public Accounts:

- “We agree with the Auditor General that it is important to have an evaluation process in place for alternative dispute resolution. It’s too easy to talk favourably about ADR without knowing, necessarily, that it works.”
- “We’ve taken that recommendation to heart. We in fact have plans to do a pilot project to evaluate some of the ADR processes we have underway now. We are also studying whether a mandatory mediation model could produce some benefits for the government – one for of ADR, of course – and as we study that, we’re building an evaluation component for it as well.”
- “So I agree with the question and I agree with the report. We are taking it to heart and are starting to design the evaluation programs that need to be done to give us the data so that we can measure...”



Part 1: 2007-2009 Continued

5

April 2008: Launch of *Analysis of the Federal Experience with the Use of Mediation and other Dispute Resolution Processes* also referred to as the “DM Commitment Project”

- The objective was to measure the impact that mandatory mediation programs can have on settlements in civil litigation matters at the Federal level as well as on the use of DR and related time and costs.
- Essentially, the analysis compared the results of civil litigation files closed in 2006-2008 in jurisdictions where there are mandatory mediation processes (Ontario) or quasi-mandatory mediation processes (British Columbia) and in jurisdictions where no such programs exist (Nova Scotia)

October 2009: Federal Experience Report finalized

- 90 percent of cases studied were settled, of which 60 percent were settled prior to examination for discovery
- Negotiation was the most frequently used DR process for settlement purposes
- Participation in mandatory mediation is often appropriate and offers some important positive outcomes for the federal government in smaller contracts and torts files
- Although concerns were expressed about mandatory mediation programs in “nuisance” suits lacking merit it was recommended that Justice counsel be encouraged to recognise the usefulness of mandatory mediation where possible and to see this as a complementary tool to their own ongoing efforts to seek early settlement opportunities on appropriate files

Part 1: 2007-2009 Continued

6

"Lessons learned" from the Federal Experience Report:

- Concrete actions were taken to better coordinate the management of dispute resolution initiatives (i.e. the Dispute Prevention and Resolution Training Series was enhanced and the DR Consultative Group was created))
- There are significant data capture, collection and reporting issues (i.e. what is recorded in iCase and when, by who, how this data is produced, and how easy it is to extract)
- The structure and purpose of iCase does not necessarily mesh with the type and level of analysis needed
- A significant gap is the absence of solid "baselines" against which to measure DR (i.e. "cheaper than what" and "faster than what"?)
- Performance measurement is a specific skill set that requires the correct professional group and level (i.e. EC). LA capacity is important for context and certain analysis but data, statistical and economic skills are key
- Without the right type and level resources, the project is at risk (e.g. a previous EC05 (Benoit Gilbert) left DPRD which created a serious capacity gap)



Part 2: 2010-2011 and early 2012

7

DPRD Human Resources and Business Renewal:

- New EC capacity with corporate planning and reporting experience hired
- Serious HR and organizational issues resolved
- DPRD's overall mandate and activities reviewed, renewed and revitalized. This is key to generating and supporting DR initiatives to then measure
- 2010-2011 DPRD strategic planning anticipates budget cuts (e.g. replacement of LAs with cheaper ECs) and the need to change the way we work (e.g. Strategic and Operating Review proposal for new service delivery model options)
- September 2011: Launch of QRO Pilot Project intended to generate options and recommendations for the transfer of functions to regional DR coordinators and reductions to DPRD's size and costs in the future
- Individual projects such as the [REDACTED] demonstrated a 60% savings of time/effort in this specific instance
- As a result of new outreach, relationships, a new professional mix, and demand, DPRD core work and delivery of services (i.e. Information and Tools, Training, and Legal Advisory and Systems Design) increased. This increase directly contributes to the OAG's original comment on the "current management of alternative dispute resolution initiatives"

Part 2: 2010-2011 and early 2012

8

On-going development of PMF project:

- In parallel to delivering its core work, the PMF continued to be developed
- October 2010 to March 2011: technical, academic and expert research and was done to determine TBS and central agency approaches and expectations for performance measurement in general. This was key for the future of the project because performance measurement is based in TBS policies and standard accepted practices
- December of 2010: experts in the field (BMB Consulting Inc.) were hired to assist in scoping out an approach for a PMF. Their final report was provided on March 31, 2011



Part 2: 2010-2011 and early 2012 Continued

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Context: Performance Measurement

- Performance measurement is part of a larger Government of Canada culture change initiative to embed principles of results based management into the day-to-day operations of government
- Generally, performance measurement refers to the process of developing measurable indicators in order to systematically track and assess progress made by organizations in contributing to predetermined desired outcomes on an on-going basis
- Performance Measurement follows fairly rigid conceptual structures. In addition to guidance from the centre (TBS), commonly accepted practices for developing and implementing performance measurement have emerged

Part 2: 2010-2011 and early 2012 Continued

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The “How-to” of Performance Measurement

Steps in establishing a full “textbook” performance measurement framework:

1. Explain and document the program logic (“logic model”)
 - *A visual representation showing how a project is intended to produce results and showing the relationships among resources, activities and benefits or changes that result*
2. Determine and document key performance indicators
 - *What are we going to measure (e.g. rate of satisfaction of service or training; number of cases settled; number of projects; etc.) to illustrate we are achieving our outcomes?*
3. Design and document a data collection strategy
 - *How to capture the evidence/statistics/counts to measure the chosen indicators in a standardized, reliable fashion, and what are the sources, tools and people involved?*
4. Design and document a reporting strategy
 - *How are you presenting the information, when, how regularly, and to who?*
5. Test and refine, if required
 - *Ensuring sufficient time to go through one full reporting life cycle to ensure other components work as designed. Make any required adjustments or improvements.*
6. Implement and refine, as needed
 - *Start applying standardized approach to activities, and adjust as needed*

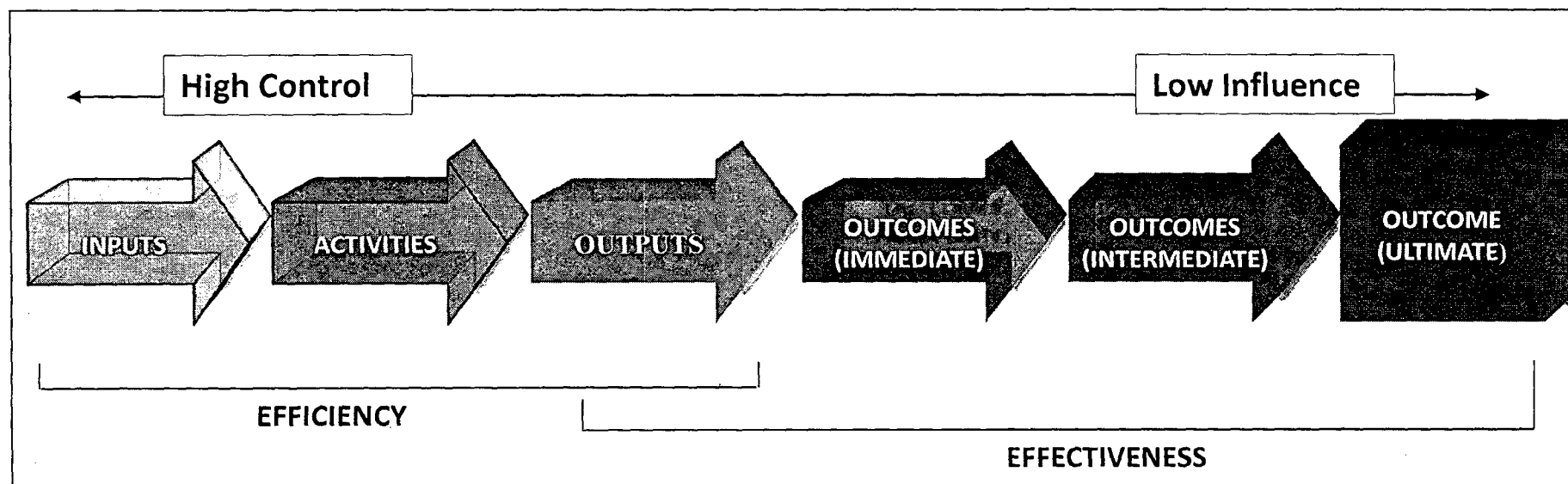
Each step involves producing a specific deliverable which launches the next step.





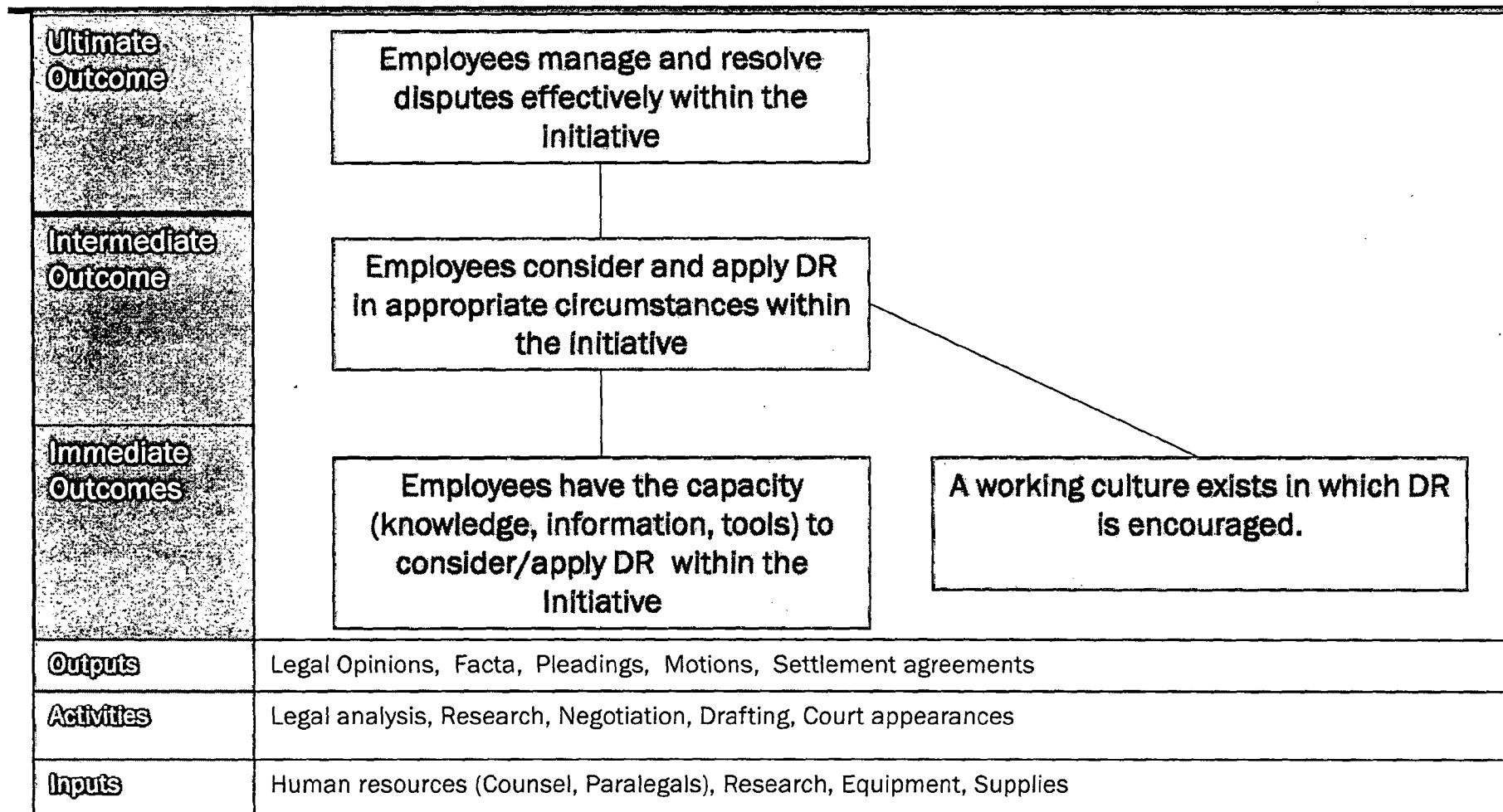
Step 1: Documenting the Program Logic

11



Step 1: Documenting the Program Logic

12



Talk to Nick

Step 2: Determine Key Performance Indicators

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Ultimate Outcome	Legal Employees manage and resolve disputes effectively within the Initiative	ments KPI1: Average number of days from opening to disposition vs. baseline (or target) KPI2: Average hours per file for settled cases from opening to disposition vs. baseline (or target) KPI3: Average cost, by file, for each settled case from opening to disposition vs. baseline (or target)
Intermediate Outcome	Employees consider and apply DR in appropriate circumstances within the Initiative	KPI4: Number of cases assessed as "appropriate" for settlement within the initiative KPI5: Number of cases settled with initiative KPI6: Cases settled under initiative as % of cases assessed as "appropriate for settlement" within the initiative. (Target: 90%)
Immediate Outcomes	Employees have the capacity (knowledge, information, tools) to consider/apply DR within the Initiative KPI7: Employees reporting increased knowledge/ability after training (target: 80% at 4.0 or higher) KPI8: Satisfaction with training (target: 80% at 4.0 or higher) KPI9: Employee application of learning to work (target: 80% "frequently" to "very frequently")	A working culture exists in which DR is encouraged. KPI10: Number of training opportunities KPI11: Number of employees trained (target: 95%) KPI12: % of staff that regularly attend Regional DR Committee meetings (Target:

Steps 3 and 4: Data & Reporting Strategies

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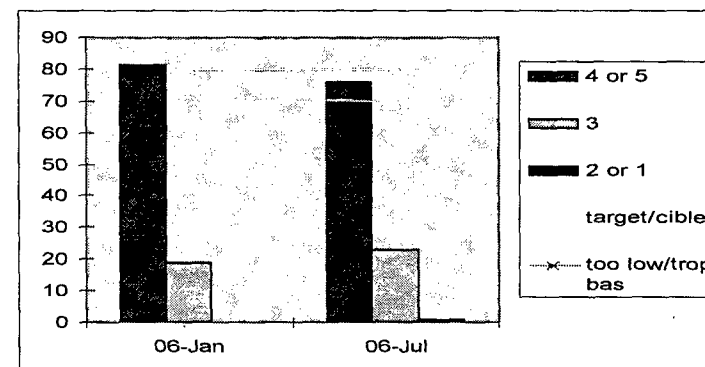
Completed Performance Measurement Data Collection Indicator Report Template	
Indicator	Training Course attendee satisfaction
Custodian	Director (Jane Doe)
Place in Logic Model	Immediate outcome measure (KPI8)
Rationale	It is important that attendees be satisfied with the program, materials and training provided in order to promote the use of DR and develop core DR skills
Definition	Satisfaction of attendees of core DR skills training courses offered to all staff
Unit of Measure	Scale (out of 5)
Target or Standard	80% of responses being either 4 or 5 (on a scale of 1 to 5); 20% at 3, 0% at levels 1 or 2
Tolerance	75% at 4/5; 20% at level 3, 5% at levels 1,2
Frequency	Ongoing collection as courses are offered. Compilation reports to be prepared quarterly
Caveats	Sample size does not support analysis of statistical reliability of results until at least Q4
Data Source and Contact	Surveys to be completed by course participants; already developed and in use. In the future, electronic collection and compilation to be considered for development.
Resource Needs	Low to moderate resource requirements. Data collection automatically through web-based technology, but compiled manually; eventual use of electronic analysis would have initial development & implementation costs but would reduce long term recurring expenditures associated with manual analysis.
Roll-out date	April 1, 2013
Analyst(s)	iCase Administrator (John Dohlund); Training Coordinator (Janet Doohickey).



Steps 3 and 4: Data & Reporting Strategies

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<p>KF18</p>	
<p>Name: Training Course Attendee Satisfaction</p>	
<p>Custodian: Director (Jane Doe)</p>	
<p>Target: 80% at 4/5 on scale of 5; 20% at 3; 0% at 1/2</p>	
<p>Recent Observations: Q1 2013-14: 81% Positive (Sample 80) Q2 2013-14: 76% Positive (Sample 93)</p>	
<p>Analysis: Although the latest performance results are lower than the target, the difference is not significant.</p>	
<p>Next Steps/Remedy: Although the latest measurements are not significantly below target, individual problems communicated in the survey were noted and are being addressed.</p>	
<p>Updated: iCase Administrator (John Dohlund)</p>	
<p>Next Update: End of Q3 2013-14</p>	
<p>Data Source and Frequency: Attendees are e-mailed link to online hosted survey by regional training centres within one week of appearance. They are asked to rate, on a scale of 1 to 5, their experience with the training and administrative arrangements surrounding their workshop attendance (i.e., scheduling, physical comfort, guidance, quality of training materials/instructor, follow-up). Replies are logged automatically, but require manual compilation and analysis.</p>	
<p>Caveats: Assuming that the opinions of those responding do not differ significantly from the opinions of those not answering, the results of a survey of about 80 attendees should be within about 9% (plus or minus) of the true overall satisfaction rate 19 times out of 20. That is, changes of less than 9% between surveys are not significant. If fewer attendees are surveyed, the results must be even farther from the target to reliably portray dissatisfaction.</p>	



Part 2: 2010-2011 and early 2012 Continued

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Development of Options & Recommendation

- Based on expert advice and education on the theory of Performance Measurement, DPRD developed options to distill the “textbook” components into the context of Justice’s work and the OAG recommendations
- Options ranging from 18 months to 7+ years were discussed with LPMD management
- Ultimately, the decision was made to proceed to senior management with a specific recommended approach



Part 2: 2010-2011 and early 2012 Continued

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Synopsis of the Original Approach

On June 14, 2011, LPM.Com endorsed an approach to:

- Go beyond responding to the OAG to develop tools and processes to support wider departmental needs in DR
- Refocus the dialogue with the OAG on the core role of Justice
- Fill in gaps that impede the department's ability to establish meaning performance measurement régimes for DR & develop a compelling "performance story" for DR

The LPM.Com approach included five elements:

1. Guide to Performance Measurement in DR Initiatives
 - *To explain the process to JUS litigators, advisory counsel, legislative counsel and analysts and provide them with tools to apply to their DR activities in regions, sectors, portfolios etc.*
2. Expanded Data Collection on DR in Litigation
 - *To determine what changes were required to iCase and developing a new collection model*
3. Analytical Methods & Comparator Data
 - *To establish the technical (e.g. statistical, mathematical and analytical) ways to measure what we want to measure*
4. Performance Data on DR Training & Tools
 - *To demonstrate how fundamental skills and tools and knowledge are being transferred to DR users*
5. Final Report of PMF project
 - *Including overarching Logic Model, reporting & data collection strategies for all users*

Part 2: 2010-2011 and early 2012 Continued

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Synopsis of the Original Approach Continued

- A detailed timeline from 2011-2012 to 2014-15; with staged concrete deliverables in each year to demonstrate progress was provided
- January 2012: Management Committee presentation on the use and measurement of DR in a time of fiscal restraint, including the PMF project which was “on-target” at that time
- In Spring 2012, approximately 25% of the LPM.Com approved project was completed. An OAG report update was provided and presented to AMREC

Part 3: 2012-2013

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Revisiting the Options to Accelerate the Project

- DPRD has been asked to reduce the delivery time for our response to the OAG
- Shortening the timeline of the PMF is possible by reducing the scope of the project
- Work on the LPM.Com project has been stopped while options are reconsidered so that resources and time are not wasted on components that will no longer be included in a reduced project
- A new accelerated option could be completed within 18 months (starting July 1, 2012) if:
 - minimum required resource levels do not change (i.e. end of secondments and/or departures of affected staff)
 - professional services contractors to support DPRD and budgets are maintained
 - support from SPPM and BPD are guaranteed
- The new project will not contain all of the “textbook” components, and therefore cannot be referred to as a “framework”
- The reduced scope means that components of the LPM.Com endorsed project will be abandoned. DPRD is planning ways to mitigate and contain risks associated with a reduced model for its implementation and for future reporting and audits
- A detailed action plan critical path with deliverables timeline follows

Part 3: 2012-2013 Continued

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Action Plan for Proposed Accelerated Performance Measurement Project:

1. Prepare a **document** to clarify roles and responsibilities (based on MOU and LRM models) between clients and Justice on DR initiatives
2. Develop a **Guide** to Performance Measurement of Dispute Resolution Initiatives
3. Prepare **recommendations** for revisions to iCase data model to capture on use of DR in litigation to support future performance measurement of DR initiatives within Justice
4. Produce a **report** to provide metrics on the development of DR competencies within the department based on the surveying of participants in existing DR training courses. This is tied to the role of Justice counsel as advisory in most client-driven DR initiatives
5. **Communications plan** for launch of guide



Part 3: 2012-2013 Continued

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Details on the Guide to Performance Measurement in Dispute Resolution

- The Guide would be a three part document aimed at supporting the establishment of performance measurement components in dispute resolution initiatives
- Once completed, the Guide would be released to DLSUs, Sectors, Portfolios and other interested parties in Justice, supported by a communications plan.

Part One	Part Two	Part Three
A "how-to" of basic performance measurement: best practices, components & process	How to apply performance measurement to DR: suggested logic model components, indicators, measurement & analytical methods with best practices geared specifically to DR	Toolkit and resources: templates, examples, project sheets and other tools along with suggested resources for further information and assistance on specific topics

Part 3: 2012-2013 Continued

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Accelerated Action Plan Timing

Deliverable	Delivery Date
Roles and Responsibilities Document	
Draft for Consultation	October 2012
Final	January 2013
Guide to Performance Measurement of Dispute Resolution Initiatives	
Part 1 (Introduction, basics and explanation of components)	October 2012
Part 2 (How to apply components and methods)	April 2013
Part 3 (Toolkit and resources)	July 2013
Final Draft for consultations	September 2013
Final	November 2013
Recommendations Report for revisions to iCase data model (to allow for changes by April 1, 2014)	January 2013
Report on development of Justice employees DR competencies	November 2012
Communications plan for launch of guide	November 2013
Final approvals of project	November 2013 to January 2014
Final Summary Report of project development for OAG	January 2014

18 months: July 1, 2012 to January 31, 2014



Part 3: 2012-2013 Continued

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Pros	Cons
<ul style="list-style-type: none"> ▪ Significantly reduces the delivery time ▪ Focuses specifically on what the OAG raised ▪ Links to DM Sims's comments about importance of establishing a evaluative process for DR ▪ Still puts in place some basic tools and systems (especially expanded data capture) that will respond to future needs ▪ Streamlines some work to date ▪ While other work to date will be stopped, these can be revisited in the future (thereby not wasting effort or time to date) ▪ Can be budget resourced almost entirely by DPRD with support from professional services contractors and support from SPPM (BPD) ▪ Will educate users (i.e. counsel, managers, etc.) about DR and performance measurement because they will have to apply the project's tools to their files themselves ▪ Education on performance measurement in a DR context contributes to meeting the boarder Policy on Evaluation requirement that every program must have a PMF ▪ A clear way to demonstrate the objectives and benefits of DR may encourage its increased use in Justice 	<ul style="list-style-type: none"> ▪ Prioritizes timeline over scope of content ▪ Limits product to "theory" without detailed testing and adjustment ▪ Litigation data will still take time to evolve and be produced; future analysis will still be required but project will be over ▪ Without clarity on future role of DPRD, project does not provide for any central reporting or on-going governance and puts the onus to explain performance measurement on individual users (e.g. litigators, managers, ADMs) ▪ Is "future-based" in the sense that it puts in place a process to follow but without concrete examples of its application or testing ▪ Does not provide for a framework for the overall use of DR within Justice (i.e. only in litigation, advisory and legislative are excluded) ▪ DRAP initiatives emphasize DR as a way to save, but DPRD and PMF are being reduced creating a gap between the support, management and use of DR and its measurement ▪ Even with the Guide, users may require "specialist" performance measurement support but where this will come from is unclear



Part 3: 2012-2013 Continued

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Risks	Mitigation Strategy
The new project depends on a planned minimum resource and capacity level within a reduced DPRD (i.e. core team of LC02 and EC08 management, EC07 project lead, EC03 analysis and various LA counsel support). If any of these resources leave (end of secondment-in, departure while affected, surplus) the project and proposed timelines cannot be guaranteed. The current project is the fastest possible with the minimum possible resources.	LPMD and DPRD reduction planning is taking minimum needs into account. If DPRD capacity is lost, supplemental resources will need to be sought from SPPM.
Confusion over the scope and extent of Justice's activities and who is ultimately responsible for certain DR activities between clients and Justice counsel	The Roles and Responsibilities document is intended to clarify and "contain" the scope and extent of Justice's roles and responsibilities (e.g. such as in the MOUs, <i>Justice Act</i> etc.) to avoid confusion or misunderstandings
The Guide will be theoretical and won't have been tested against actual DR initiatives.	DPRD will use the QRO Pilot Project and other files to extract as much relevant contextual information to compensate for lack of time for full cycle projects
Recommendations only to BPD, no control over when these are made.	An MOU or ADM assistance in securing BPD resources/commitments
DR Training Knowledge Transfer Assessments become the central (only?) way to meaningfully demonstrate internal actions to increase DR capacity. If discontinued, will create a gap for future audit/review.	Ensure this is a part of final project



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Issues identified	Mitigation strategies continued
Performance measurement itself, and the original LPM.Com PMF was difficult enough to explain and "sell" as originally planned. The reduced timeline and lack of testing may create issues, negative reception and lack of support from stakeholders	As with many other corporate reporting functions (RPP, DPR, MAF, timekeeping) a strong message from management on the importance and necessity can increase compliance and uptake
There will be limited time to consult. Stakeholders may resist or refuse to support the project	Existing networks will be used (e.g. Practice Group(s), DR Consultative Group, Management Committee, etc.) to facilitate consultations



Part 4: Next Steps

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- Various briefings on DPRD's work and future are occurring:
 - May 11, 2012: You were provided with an interim report on the Quebec Pilot Project
 - May 30, 2012: Briefing on DPRD's core mandate activities (i.e. Information and Tools, Training, and Legal Advisory and Systems Design)
 - June 18, 2012: Briefing on Performance Measurement
 - On-going: Executive level review of DPRD's mandate, budget and organization
 - On-going: Overall planning of what activities can be reduced, altered or dropped
- Before DPRD's full future can be determined, all of these components must be considered together. The Performance Measurement project is premised on some scaled continuation of DPRD's core service, and some continuation of the QRO Pilot Project
- However, how and to what extent these components can fit together is still up for discussion
- We propose an additional briefing on the QRO Project and a wrap-up discussion of how to fit all of the components together



**Dispute Prevention and Resolution Division
Accelerated Dispute Resolution Performance Measurement Project**

WORKPLAN

18 months: July 1, 2012 to December 2013/January 2014

Deliverable	Purpose	Tasks	Lead Officer (Support)	Consultations	Milestones & Delivery Dates
Roles and Responsibilities Document	<p>To clarify roles and responsibilities between clients and Justice on DR initiatives</p> <p><u>Risk/Mitigation:</u> Intended to mitigate the risk of lack of clarity over who is responsible for DR projects between clients and counsel by containing it to JUS core service</p> <p>It is anticipated that consultations could be contentious; completing this early will let us adjust/follow-up as we prepare to circulate guide components</p>	<p>Research existing documents describing the scope of JUS's role (e.g. <i>Justice Act</i>, MOU's, LRM documents, RPP, DPR, TBS, PCO, Finance, MAF, FAA)</p> <p>Identify core roles and authorities (e.g. for conduct of litigation, for reporting on litigation, for seeking, granting and instructing on settlements, on seeking, pursuing and enforcing costs, etc.)</p> <p>Reference existing DPRD documents (e.g. DR Framework and Toolkit)</p>	CR, (BW)	DR Practice Group, DR Consultative Group, Others	
• Draft					October 2012
• Final Document					January 2013
Guide to Performance Measurement of Dispute Resolution Initiatives	<p>The Guide is the manual on what performance measurement is and how to apply it to DR initiatives. The Guide will provide a concrete, standardized package intended for wide distribution and application by all DR users.</p> <p><u>Risk/Mitigation:</u> The accelerated approach does not allow for the guide to be tested against actual DR Initiatives. DPRD will use the QRO Pilot Project and other files to extract as much relevant contextual information to compensate for lack of time for full cycle projects.</p>	Various, see below	Various, see below		

Deliverable	Purpose	Tasks	Lead Officer (Support)	Consultations	Milestones & Delivery Dates
• Part 1	Introduction, basics and explanation of components	Include history, evolution and purpose Provide best practices for PM Professional Services Contract anticipated	ER, AC	SPPM, BPD, ADMO	October 2012
• Part 2	How to apply components and methods	Undertake research on academic, public service and professional practices in the performance measurement of DR. Develop logic model components, indicators, measurement and analytical methods with best practices geared towards DR Professional Services Contract anticipated	ER (AC, BW)	SPPM, BPD, ADMO	April 2013
• Part 3	Toolkit and resources	Develop templates, project sheets and other tools Literature review to determine resources for further information Professional Services Contract anticipated	ER (AC, JA)	SPPM, BPD, ADMO	July 2013
• Final Draft		Final changes, consolidation of all parts, and edits following consultations.	ER (AC, DM, MF, JA)	TBS, LPMD Remue méninges, DR Practice Group, DR Consultative Group	September 2013
• Final Report		Approvals process	ER, DM, MF, JA	Management Committee? ADM? DM?	November 2013
Recommendations report for revisions to iCase data model(s)	Prepare recommendations for revisions to iCase data model to capture on use of DR in litigation to support future performance	Complete gap analysis to determine data requirements for future analysis of DR.	ER, AC	BPD (BG)	January 2013

Deliverable	Purpose	Tasks	Lead Officer (Support)	Consultations	Milestones & Delivery Dates
	<p>measurement of DR initiatives within Justice</p> <p><u>Risk/Mitigation:</u> DPRD has no control over BPD's roll out of recommendations. An MOU or ADM assistance would help to secure BPD's commitments.</p>	<p>Delivery date planned to allow BPD to plan for changes on April 1, 2014</p>			
Development of "appropriateness" criteria	<p>Component of proposed data model under development required to support future analysis</p>	<p>Development and refinement of criteria for the use of DR within litigation</p>	BW, SD	<p>DR Practice Group, Consultative Group, others</p>	<p>November 2012</p>
Report on development of Justice employees DR competencies (Learning Transfer Assessments)	<p>Produce a report to provide metrics on the development and transfer of DR competencies and knowledge within the department based on participant evaluations from existing DR training courses. This is tied to the role of Justice counsel as advisory in most client-driven DR initiatives</p> <p><u>Risk/Mitigation:</u> Learning Transfer Assessments are the only way to meaningfully demonstrate Justice actions to increase DR capacity. If discontinued, this will create a gap for future audit/review.</p>	<p>Distribute learning transfer assessments 3 months after training (already developed and ready to launch), compile and analyze data</p> <p>Prepare brief summary report</p>	JA, AC (ER)		<p>November 2013</p>
Updates to AMREC, DAC, etc.	<p>Regular, cyclical corporate and central agency reporting on progress of project</p>	<p>Complete story line, deliverables to date, work planned, fill in templates provided and provide speaking notes</p>	JA (ER)		<p>Spring 2013 and as needed</p>
Communications Plan for launch of Guide	<p>The accelerated project will require strong messaging about its relevance, value and necessity ("what's in it for users"). Will need to contain a strong education component on DR</p>	<p>Development and implementation of Communications plan</p>	BW (AC)	<p>Comms Branch</p>	<p>November 2013</p>

Deliverable	Purpose	Tasks	Lead Officer (Support)	Consultations	Milestones & Delivery Dates
	and performance measurement. <u>Risk/Mitigation:</u> Plan mitigates risk of resistance and rejection by users. May need to link to management-driving requirement for compliance				
Final approvals of project	To seek endorsement and approval of final product	To contain: - Cover memo - Roles and Responsibility Document - Guide - Final Summary Report of project development for OAG	TBD	TBD	December 2013 to January 2014

**Dispute Prevention and Resolution Division
Accelerated Dispute Resolution Performance Measurement Project**

PROJECTED BUDGET: O&M

Item/Activity	Rationale	Link to Workplan	Cost
DPRD Staff Training in Performance Measurement	Accelerated project will require acquisition and maintenance of staff knowledge and skills. Accelerated Training is the most efficient way to get the work team up to speed on concepts and get them working on components	Every stage.	ER: \$5,000 AC: \$5,000 LAs: \$5,000
Professional Services Contract – BMB Consulting Inc	Professional services on best practices	Guide Part 1: Structure	\$25,000
Professional Services Contract – Stitt Feld Handy	Professional services on best practices	Guide Part 2: Research	\$25,000
Professional Services Contract – TBD	Professional services on best practices	Guide Part 3: Templates	\$25,000
Miscellaneous office costs (photocopying, shipping, postage)	Research and gathering of examples, information sources etc. for Guide will require research into academic, technical and international sources on methodology and tools for performance measurement. These will generate administrative costs.	Guide (all)	\$2500
Total:			\$92,500

ESTIMATED FTE REQUIREMENTS

Group and level	% of FTE
EC08	0.9
EC07	0.5
EC03	0.6
LC02	0.25
LA2A (X2)	1.0
LC03	0.1
TOTAL	3.35

From: Allen, Jonathan
Sent: 2012-Oct-03 16:04
To: Allen, Jonathan; Chambers, Philip; Gervais, Gisele; Ménard, Danièle; Tremblay, Candice; Worton, Bevin; Bonderud, Sueleina; Dargent, Lise; Francoeur, Michel; Gervais, Gisele; Green, Karen; Guzina, Zorica; Klinger, Mona; Larouche, Alexandre; Madore, Louise; Ménard, Danièle; Pelletier, Paul; Tremblay, Candice; Vezina, Patrick; Worton, Bevin; Fortin, Suzanne; Quinn, Chantal; Wheatley, Paul; Benbaruk, Dora (TBS); Camirand, Charles; Campbell, Amy; Cerretti, Liliana (AADNC-AANDC); Chaplan, Jonathan (DND); Daigle, Francois; Doire, Sylvie; Donnici, Juliet; Dostie, Manon; Hansen, David; Jermyn, Glen; LaForest, Kathleen (CRA); Levasseur, Bruno; Mamen, Gordon; McCombs, Mark (HRSDC); Ménard, Danièle; Morris, Michael; Soucis, Carole; Tardif, Richard; Vezina, Patrick; Worton, Bevin; Duggan, Kim
Cc: Brisebois, Jo-Anne
Subject: RE: Dispute Prevention and Resolution within Federal Departments and Agencies: Roles and Responsibilities / La prévention et le règlement des différends au sein des ministères et organismes fédéraux : les rôles et les responsabilités
Attachments: 011012 - DRAFT Roles and Responsibilities French.doc; 011012 - Draft Annex A French.DOCX

Tel que promis hier, veuillez-voir la version française ci-joint.

Merci,
Jonathan

From: Allen, Jonathan
Sent: 2012-Oct-01 2:46 PM
To: Allen, Jonathan; Chambers, Philip; Gervais, Gisele; Ménard, Danièle; Tremblay, Candice; Worton, Bevin; Allen, Jonathan; Bonderud, Sueleina; Dargent, Lise; Francoeur, Michel; Gervais, Gisele; Green, Karen; Guzina, Zorica; Klinger, Mona; Larouche, Alexandre; Madore, Louise; Ménard, Danièle; Pelletier, Paul; Tremblay, Candice; Vezina, Patrick; Worton, Bevin; Fortin, Suzanne; Quinn, Chantal; Wheatley, Paul; Allen, Jonathan; Benbaruk, Dora (TBS); Camirand, Charles; Campbell, Amy; Cerretti, Liliana (AADNC-AANDC); Chaplan, Jonathan (DND); Daigle, Francois; Doire, Sylvie; Donnici, Juliet; Dostie, Manon; Hansen, David; Jermyn, Glen; LaForest, Kathleen (CRA); Levasseur, Bruno; Mamen, Gordon; McCombs, Mark (HRSDC); Ménard, Danièle; Morris, Michael; Soucis, Carole; Tardif, Richard; Vezina, Patrick; Worton, Bevin; Duggan, Kim
Cc: Brisebois, Jo-Anne
Subject: Dispute Prevention and Resolution within Federal Departments and Agencies: Roles and Responsibilities / La prévention et le règlement des différends au sein des ministères et organismes fédéraux : les rôles et les responsabilités

(Veuillez-voir ce message en français ci-dessous)

Attached is a draft document prepared by the Dispute Prevention and Resolution Division (DPRD) entitled "*Dispute Prevention and Resolution within Federal Departments and Agencies: Roles and Responsibilities*". It will be included in a suite of documents currently in development for DPRD's Performance Measurement Framework (PMF) for Dispute Resolution Initiatives. The PMF is a part of DPRD's on-going response to the 2007 Office of the Auditor General's report on managing the delivery of legal services to government which recommended that:

"In addition to its current management of alternative dispute resolution initiatives, Justice Canada should ensure that it clearly defines each initiative's objectives, estimates the potential cost savings and formally reviews the outcome of initiatives against their objectives."

The PMF project was endorsed by the former LPM.Com in June 2011 and an update was presented to Management Committee in January 2012. The project was revised and accelerated in July 2012 and the full PMF package is planned for a consultation distribution soon.

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Le principal objectif de la DPRD est de veiller à ce que la documentation relative au CMR soit actuelle, pertinente et compréhensible pour les avocats, les gestionnaires et les analystes qui participent à des initiatives de DR et qui seront les utilisateurs finaux du produit. En particulier, vos opinions concernant le document sur les rôles et les responsabilités nous aideront à déterminer les prochaines étapes à suivre.

La version française du document est en cours de traduction et vous sera acheminée dès que possible.

Merci,
Jonathan

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**Prévention et règlement des différends
au sein des ministères et organismes fédéraux :
Rôles et responsabilités**

Objet

Le présent document décrit les rôles et les responsabilités relatifs à l'établissement et à la mise en œuvre d'initiatives de prévention et de règlement des différends (PRD) visant les services juridiques que le ministère de la Justice du Canada (MJ) offre aux ministères et organismes fédéraux.

Le règlement des différends¹ (RD) consiste en tout processus utilisé pour régler un conflit, y compris les processus non officiels consensuels comme la négociation et les processus officiels fondés sur les droits comme le litige. La PRD englobe également les stratégies visant à prévenir les conflits.

Le MJ accorde de l'importance à la PRD. La *Politique sur le règlement des conflits* prévoit que les employés du MJ doivent faire tout en leur pouvoir pour prévenir un conflit. Si un conflit survient, ils doivent y donner suite le plus rapidement et le plus efficacement possible afin d'éviter que le recours aux tribunaux ne soit la seule issue envisageable. En outre, l'*Avis relatif à la pratique sur le règlement accéléré des litiges* du MJ encourage les avocats du gouvernement qui s'occupent d'affaires civiles, notamment les mandataires du gouvernement, à régler rapidement les différends juridiques dès qu'ils surviennent.

Les ministères et organismes clients comprennent également l'importance de la PRD. Ceux-ci demandent souvent de la formation sur la PRD et, dans le cadre de sondages portant sur les services juridiques offerts par le MJ, ils ont demandé plus d'information concernant le RD et les divers mécanismes de RD.

La PRD est un outil de gestion efficace à la fois pour les conseillers juridiques du MJ et les ministères et organismes fédéraux (MOF). Comme il est important de gérer les conflits rapidement et au moindre coût, surtout ceux qui sont moins complexes et comportent moins de risques, les ministères et organismes du gouvernement du Canada doivent sans aucun doute réduire le nombre de litiges en appliquant les processus de PRD appropriés. Le règlement des cas simples qui ne présentent pas de risques élevés permet au gouvernement d'affecter ses ressources à des affaires qui présentent des risques plus élevés et ne peuvent faire l'objet d'un règlement, comme les affaires constitutionnelles, ou celles qui ne se prêtent pas à un règlement, comme les causes types ou celles qui ont de bonnes chances de succès. Le MJ ainsi que le ministère ou l'organisme client ont des rôles respectifs à jouer dans le processus de PRD en ce qui concerne l'évaluation des différends et le choix du processus de RD qui est le plus approprié. Toutefois, le MJ et les ministères et organismes clients ont également une responsabilité partagée et sont tenus de collaborer.

La prévention et le règlement des différends : une responsabilité partagée

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La méthode la plus appropriée pour régler un différend doit être fondée sur une évaluation minutieuse des faits et des risques, ainsi que sur l'évaluation des intérêts des parties, sur la nature du conflit et sur toute restriction législative ou stratégique gouvernant l'utilisation d'un mécanisme de RD particulier. La responsabilité de cette méthode ne revient pas uniquement au MJ ou au ministère ou organisme client. Bien que chacun ait des responsabilités dont il doit seul rendre compte, le MJ et le ministère et organisme client ont aussi des responsabilités partagées à chaque étape du processus de gestion du différend.

Le tableau qui illustre les rôles et les responsabilités figure à l'annexe A du présent document; il est divisé en trois catégories : la responsabilité des ministères et organismes fédéraux, la responsabilité partagée et la responsabilité du MJ.

RÔLES ET RESPONSABILITÉS À CHAQUE ÉTAPE DU PROCESSUS DE PRD

Prévention des différends – Étape I

La prévention des différends est la première composante de la gestion des différends; elle vise à prévenir que des différends ou des conflits surviennent au sein du gouvernement fédéral ou entre l'État et des tiers. Un ministère ou un organisme pourrait, par exemple, élaborer une politique ou un programme à cet égard ou mener des activités destinées à prévenir ou à régler d'éventuels différends entre le gouvernement et ses citoyens.

Les ministères et organismes fédéraux à l'étape I

Les ministères et organismes fédéraux sont principalement responsables de la prévention des différends parce qu'ils doivent rendre compte des décisions prises en vertu de leurs pouvoirs relativement aux programmes et aux politiques. Habituellement, ils connaissent mieux leur ministère ou organisme ainsi que les limites de leur mandat. Toutefois, bien qu'ils aient une meilleure connaissance de leur ministère ou organisme, ils doivent fournir au MJ l'information nécessaire pour pouvoir gérer les risques juridiques et demander un avis fondé sur les faits pertinents lorsqu'ils souhaitent élaborer une stratégie de prévention des différends.

Les ministères et organismes fédéraux devraient prendre les mesures suivantes :

- S'assurer de bien comprendre leurs pouvoirs, priorités et objectifs en ce qui a trait aux contrats, aux réclamations faites contre la Couronne et à tout autre volet de leur mandat.
- Faire ressortir les occasions et les stratégies de prévention des différends dans le cadre de la conception et de l'évaluation des programmes.
- Recueillir et fournir des renseignements non juridiques pertinents concernant les projets d'initiatives de prévention des différends, notamment des statistiques, les politiques et programmes existants et les leçons apprises de projets antérieurs.
- Demander à des spécialistes du MJ de leur fournir des conseils et des avis juridiques relativement à tout projet d'initiative de prévention des différends, notamment des conseillers juridiques des services juridiques ministériels, des spécialistes du contentieux et des rédacteurs législatifs.

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Le ministère de la Justice à l'étape I

En matière de prévention des différends, les conseillers du ministère de la Justice doivent jouer un rôle proactif dans l'élaboration de politiques et de programmes gouvernementaux et dans la prestation de conseils relatifs aux risques juridiques.

Le ministère de la Justice devrait prendre les mesures suivantes :

- Fournir des conseils et des avis juridiques relatifs aux occasions de prévention des différends.
- Élaborer et fournir des conseils concernant les risques juridiques que peut présenter une initiative de prévention des différends.²
- Collaborer à la mise en œuvre de toute initiative de prévention des différends. Par exemple, le MJ pourrait fournir sur demande :
 - des services consultatifs concernant toute initiative ou programme de PRD;
 - des services de représentation ou des conseils concernant tout mécanisme de RD;
 - des services de rédaction législative à l'égard de projets de loi, de règlement ou de règles de procédure.
- Mener la RD dans le cadre du règlement et mener tout litige auquel la Couronne est partie.

Responsabilité partagée à l'étape I

À la lumière de ce qui précède, il est évident qu'il existe une responsabilité partagée puisque le MJ ainsi que le ministère ou l'organisme client doivent collaborer pour s'assurer de mettre en lumière les occasions de prévenir les différends et de mettre en œuvre les stratégies de prévention des différends qui sont appropriées et tiennent compte des éventuels risques juridiques.

De concert, le MJ et les MOF devraient prendre les mesures suivantes :

- Collaborer afin de prévenir les différends.
- Collaborer afin de mettre en lumière les occasions d'élaborer des initiatives de prévention des différends.
- Collaborer afin de définir les risques que présentent les initiatives de prévention des différends.³
- Assurer une communication et des consultations efficaces au cours des étapes d'élaboration et de mise en œuvre.
- Assurer une planification claire et établir un chemin critique pour les décisions liées aux initiatives de prévention des différends.

Règlement des différends et prévention des litiges – Étape II

La deuxième étape de la gestion des différends consiste à régler les différends existants et à prévenir les litiges. Lorsque le ministère ou l'organisme est avisé de la naissance d'un différend

² [Hyperlien vers le document des rôles et responsabilités en matière de GRJ si disponible sur l'Intranet]

³ [Hyperlien vers le document des rôles et responsabilités en matière de GRJ si disponible sur l'Intranet]

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ou du dépôt d'une plainte, la gestion du différend se fait en fonction du type d'avis reçu et des mécanismes en place au sein du ministère ou de l'organisme chargé de les gérer. Dans certains cas, toutefois, le différend passera directement de l'une des premières étapes à l'étape des litiges. Le dossier pourrait, par exemple, être transmis directement au MJ (voir la troisième étape de la gestion des différends) lorsqu'il s'agit d'un différend sur la constitutionnalité d'une disposition législative ou si le MJ reçoit un avis lui signalant qu'une poursuite a été intentée auprès d'une cour supérieure provinciale.

Cependant, le ministère ou l'organisme aux prises avec un différend contractuel avec un tiers pourrait devoir négocier un règlement sans intenter de poursuite devant les tribunaux parce qu'une clause de RD obligatoire est prévue au contrat intervenu entre les parties. Dans d'autres circonstances, comme le règlement d'une plainte formulée à l'encontre d'une politique ministérielle, les parties pourraient utiliser un mécanisme officiel de RD expressément mis en place par le ministère dans le cadre de l'administration de la politique contestée. Par exemple, de nombreuses ententes de subventions et de contributions renferment une clause type relative au RD qui peut être invoquée par l'une des parties si un différend survient pendant la durée de l'entente.

À cette étape, d'autres types de plaintes pourraient être traitées par un organisme administratif qui détient des pouvoirs d'enquête sans détenir des pouvoirs décisionnels (p. ex., un haut fonctionnaire du Parlement, tel que le commissaire à la protection de la vie privée).

Les ministères et organismes fédéraux à l'étape II

Les ministères et organismes fédéraux sont principalement responsables du règlement des différends qui n'ont pas donné lieu à des actions en justice. Il leur incombe de définir et d'obtenir les autorisations qui correspondent au mandat de règlement approprié, ainsi que de donner des instructions au conseiller juridique, si nécessaire.

Les ministères et organismes fédéraux devraient prendre les mesures suivantes :

- S'assurer de bien comprendre leurs pouvoirs, priorités et objectifs en ce qui a trait aux contrats, aux réclamations faites contre la Couronne et à tout autre volet de leur mandat.
- Régler les différends qui n'ont pas donné lieu à des actions en justice, comme les questions relatives aux contrats, aux avis d'intention, aux griefs et aux plaintes.
- Demander à des spécialistes du MJ de leur fournir des conseils et des avis juridiques relativement aux différends, notamment des conseillers juridiques des services juridiques ministériels, des spécialistes du contentieux et des rédacteurs législatifs.
- Recueillir et fournir au MJ des renseignements non juridiques concernant tout différend qui n'a pas encore été réglé.
- Obtenir l'autorisation relative au mandat de règlement et donner des instructions aux conseillers du MJ.
- Mettre en œuvre le règlement de tout différend.

Le ministère de la Justice à l'étape II

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À cette étape, le MJ doit fournir des conseils et aider le ministère ou l'organisme à gérer les différends afin de fournir des conseils concernant les risques juridiques qui y sont associés et de proposer des stratégies visant à prévenir les litiges.

Le MJ devrait prendre les mesures suivantes :

- Aider les MOF à gérer les différends.
- Fournir des conseils et des avis juridiques portant sur les options de règlement de différends.
- Élaborer et fournir des conseils relatifs aux risques juridiques.
- Fournir des conseils juridiques continus, notamment des stratégies visant à régler les différends et à prévenir les litiges, ou peut-être à préciser les questions qui donneront lieu à des litiges.
- Collaborer à la mise en œuvre du règlement d'un différend. Cette étape peut nécessiter la prestation de conseils sur des politiques et des pratiques existantes en matière de règlement ou de services comme la rédaction législative.

Responsabilité partagée à l'étape II

Selon la nature du différend, le règlement de celui-ci pourrait être une responsabilité partagée entre le MJ et le ministère ou l'organisme concerné. Les ministères et organismes fédéraux sont tenus de fournir tous les renseignements pertinents au MJ qui, de son côté, doit offrir les conseils juridiques appropriés, notamment des options de règlements.

De concert, le MJ et les MOF devraient prendre les mesures suivantes :

- Collaborer afin de régler les différends.
- Assurer la communication et des consultations efficaces entre le MJ et son client : toutes les parties devraient bien comprendre la nature du différend, ainsi que les options de règlement et les occasions de prévenir d'autres différends.
- S'assurer que la mise en œuvre des règlements relève du pouvoir et du mandat des MOF et ne contrevient à aucune politique en vigueur.
- Partager les leçons apprises.
- Demander de la formation et des occasions d'échanger l'information.

Les litiges et leur règlement – Étape III

La troisième étape de la gestion des différends est le règlement des litiges, qui s'effectue idéalement au moyen d'un mécanisme de RD après que la décision en ce sens a été prise et que le mandat de régler le litige a été reçu. Si aucun texte législatif ou politique n'interdit le règlement extrajudiciaire d'un différend, le recours à un mécanisme particulier de RD, tel que la négociation ou la médiation, peut constituer une méthode de règlement efficace et économique. Lorsque le différend n'est pas réglé au moyen d'un mécanisme de RD approprié, c'est un tribunal administratif ou judiciaire qui décidera de l'issue de l'affaire et qui donc imposera un règlement.

Le ministère de la Justice à l'étape III

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Le ministère de la Justice est responsable de la réglementation et de la conduite des litiges auxquels l'État est partie et joue donc un rôle de premier plan dans le règlement des litiges. Les conseillers doivent comprendre les risques juridiques en cause, fournir des avis juridiques au ministère ou à l'organisme client et représenter les positions et les intérêts de leurs clients devant les tribunaux judiciaires ou administratifs, en fonction de la nature du litige.

Le ministère de la Justice devrait prendre les mesures suivantes :

- Mener tous les litiges auxquels l'État est partie.
- Fournir de manière continue des conseils juridiques complets à son client, y compris sur les options de règlement.
- Élaborer et fournir des conseils relatifs aux risques juridiques.
- Communiquer de manière efficace aux adjudicateurs les positions et les intérêts de son client.
- Aider à la mise en œuvre du règlement de tout différend.

Les ministères et organismes fédéraux à l'étape III

Le ministère ou l'organisme client joue un rôle en ce qui concerne les instructions qui sont données au conseiller du MJ, les informations pertinentes fournies et la détermination du mécanisme qui convient pour régler le litige. Le ministère ou l'organisme client est mieux placé pour comprendre ses pouvoirs, ses priorités et ses objectifs que le MJ. En outre, seul le ministère ou l'organisme client peut demander ou autoriser un mandat de règlement.

Les ministères et organismes fédéraux devraient prendre les mesures suivantes :

- S'assurer de bien comprendre leurs pouvoirs, priorités et objectifs en matière de contrats, de réclamations contre la Couronne et de tout élément qui relève de leur mandat.
- Recueillir et fournir au MJ des renseignements non juridiques concernant les actions en justice.
- Obtenir l'autorisation pour le mandat de règlement et donner des instructions au conseiller du MJ.
- Mettre en œuvre le règlement de tout différend.

Responsabilité partagée à l'étape III

Il existe une responsabilité partagée tant pour le MJ que pour le ministère client afin de s'assurer que le litige ou le règlement tient compte des intérêts juridiques de « l'ensemble du gouvernement ». Cet objectif peut être atteint grâce à une communication et à une consultation efficaces entre le MJ et le ministère client. En l'absence de communication ouverte et directe, le MJ aura du mal à agir au nom de son client et le ministère ou organisme client ne sera pas en mesure de fournir des instructions adéquates au conseiller qui tiennent compte de tous les risques juridiques ainsi que des priorités et des objectifs du client.

De concert, le MJ et les MOF devraient prendre les mesures suivantes :

- Tenir compte des intérêts de « l'ensemble du gouvernement » lors de l'examen des projets de règlement des différends.

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- Assurer une communication et une consultation efficaces tout au long du processus de litige.
- Mettre en œuvre le règlement de tout différend en tenant compte des politiques et des programmes existants.

Renforcement des capacités

Bien qu'il ne s'agisse pas d'une étape officielle de la gestion des différends, le renforcement des capacités est important pour que toutes les étapes soient franchies. Le renforcement des capacités permet l'utilisation efficace et rentable de la PRD; il permet aux intervenants d'acquérir la capacité de reconnaître et ensuite de mettre en œuvre les stratégies de PRD.

Le MJ et les autres ministères et organismes fédéraux sont tenus de faire comprendre les processus et les responsabilités de la PRD, surtout en ce qui concerne les litiges juridiques. Pour atteindre cet objectif, ils doivent collaborer afin de veiller à ce que les stratégies de PRD soient examinées et mises en œuvre conformément à des rôles et responsabilités clairement définis et que la formation adéquate est fournie. À la fois le MJ et les ministères et organismes fédéraux sont responsables du renforcement de leurs capacités respectives en matière de PRD, bien qu'ils puissent choisir de mettre l'accent sur différents aspects de la PRD.

Par exemple, le MJ appuie la PRD en offrant à ses employés de la formation, l'information et des outils sur la PRD, ce qui leur permet de mieux comprendre la PRD au sein du gouvernement fédéral, bien que la formation tende à mettre l'accent sur l'utilisation efficace des mécanismes de RD plutôt que sur les aspects de la prévention. Les ministères et organismes fédéraux peuvent offrir leur propre formation qui insiste davantage sur la prévention des différends que sur la création de politiques ou de procédures qui relèvent du mandat du ministère ou de l'organisme.

Les ministères et organismes fédéraux en matière de renforcement des capacités

Les ministères et organismes fédéraux devraient prendre les mesures suivantes :

- Fournir ou demander de la formation sur la PRD.
- Tenir compte de la PRD dans l'élaboration de nouvelles initiatives, politiques et de nouveaux programmes, et ce, non seulement pour le règlement de poursuites ou de différends.

Le ministère de la Justice en matière de renforcement des capacités

Le ministère de la Justice devrait prendre les mesures suivantes :

- Élaborer des mécanismes, des pratiques et des outils d'information communs en matière de PRD.
- Promouvoir, appuyer et tenir à jour la connaissance juridique du RD et de la PRD.
- Offrir aux conseillers de la formation sur les mécanismes de PRD.
- Tenir compte de la PRD dans le cadre de toute pratique juridique – consultation, législation ou contentieux.

Responsabilité partagée en matière de renforcement des capacités

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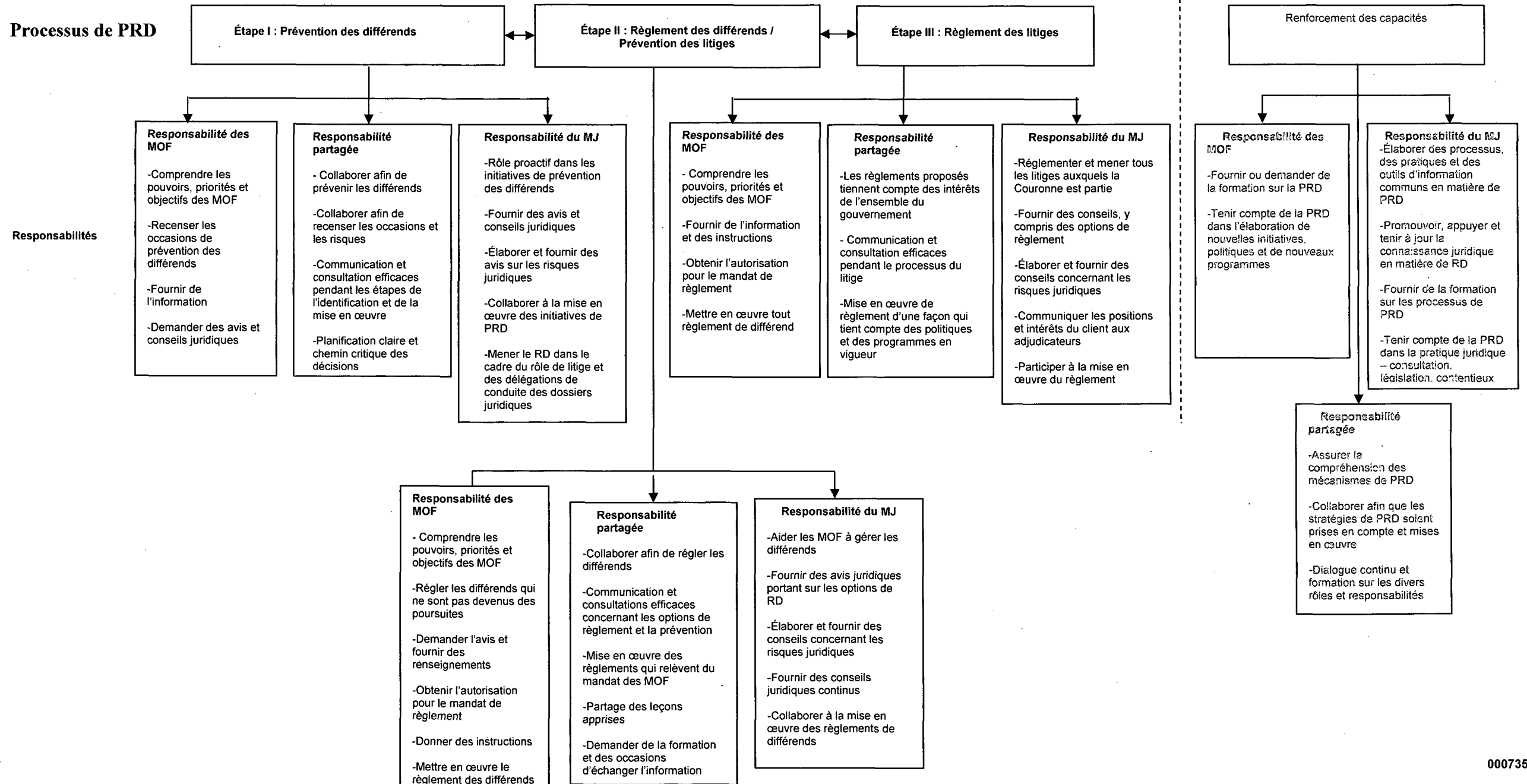
De concert, le MJ et les MOF devraient prendre les mesures suivantes :

- Veiller à ce que les mécanismes de PRD soient bien compris, en particulier, mais non exclusivement, ceux qui visent les litiges.
- Collaborer afin d'assurer la prise en compte et la mise en œuvre des stratégies de PRD.
- Maintenir un dialogue continu et la formation sur certains rôles et responsabilités qui ont trait à la PRD.

Conclusion

En conclusion, une meilleure compréhension de la PRD aide à ce que tous les ministères et organismes fédéraux prennent part à la détermination des besoins en matière de PRD et à la mise en œuvre de stratégies de PRD, le cas échéant, et qu'ils fassent intervenir le MJ dans l'utilisation de la PRD à la fois pour prévenir et pour régler les différends.

Annexe A – Prévention et règlement des différends : Rôles et responsabilités



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Dispute Prevention and Resolution within Federal Departments and Agencies: Roles and Responsibilities

Purpose

This paper describes roles and responsibilities pertaining to the identification and implementation of dispute prevention and resolution (DPR) initiatives related to the legal services offered to federal department and agencies by the Department of Justice Canada (Justice).

Dispute resolution¹ (DR) refers to any process used to resolve a conflict and includes informal, consensual processes such as negotiation, as well as formal rights-based ones, such as litigation. DPR includes the additional element of strategies to prevent disputes from arising.

Justice recognizes the importance of DPR. The Department's *Policy on Dispute Resolution* affirms the responsibility of all Justice employees to make every effort to prevent disputes from arising, and where they do arise, to address them as early and effectively as possible in order to avoid the courts becoming the only avenue of recourse. Further, the Justice *Early Settlement Practice Advisory* encourages Crown agents and civil Crown counsel to settle cases expeditiously and at an early stage of the legal dispute.

Client departments and agencies also understand the importance of DPR. Client departments and agencies frequently request training on DPR issues, and in surveys regarding the legal services offered by Justice, have requested more information regarding DR and DR processes.

DPR is an effective management tool for both Justice counsel and federal departments and agencies (FDAs). Given the need for timely and cost efficient management of disputes, particularly those that are less complex and involve less risk, there is a clear need for departments and agencies within the Government of Canada to reduce litigation through the use of appropriate DPR processes. Settling uncomplicated cases that are not high risk allows the Government to focus its resources on higher risk matters that cannot be settled, such as Constitutional issues, or those that are not appropriate for settlement such as test cases or those with a high likelihood of success. Both Justice and client department and agencies have their respective roles in DPR process to evaluate disputes and then select the most appropriate DR

¹ Terminology in the field of dispute resolution reflects various points of view among practitioners, experts and academics. Varied use of terminology also reflects trends in regions and jurisdictions in Canada, as well as internationally. For example, DPRD recognizes that there is some debate regarding the terms "appropriate" or "alternative" and the meaning and use of the word "prevention." Further, there are different acronyms used, such as the English term "ADR" and the French term "MARC", to represent various combinations and points of view on these terms.

For ease of reference, the broad term "dispute resolution" (DR) has been used throughout this Roles and Responsibilities document to generally capture the various perspectives. Where necessary in this document specific terminology related to specific contexts has been used, such as dispute prevention and resolution (DPR) where there is a clear element of prevention described.

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process available. However, there is also a shared responsibility of Justice and client department and agencies and a need for collaboration.

Dispute Prevention and Resolution: A Joint Responsibility

The most appropriate method to resolve a particular dispute should be based on a careful assessment of the facts and risks as well as an evaluation of the interests of the parties, the nature of the conflict and any statutory or policy restrictions governing the use of a particular DR process. The responsibility for this does not rest uniquely with either Justice or the client department or agency. While each has certain responsibilities that they alone are accountable for, both Justice and the client department and agency also have shared responsibilities at each phase of dispute management.

The chart outlining roles and responsibilities is found in Annex A of the present document and is broken down in three categories: Federal departments and agencies responsibility, shared responsibility, and Justice responsibility.

ROLES AND RESPONSIBILITIES AT EACH STEP OF THE DPR PROCESS

Dispute Prevention – Phase I

Dispute Prevention is the first phase of dispute management and is intended to prevent disputes or conflicts from arising within the Government of Canada or between the Crown and third parties. A department or agency might, for example, develop a policy or program or have operations aimed at preventing or resolving anticipated disputes between the Government and Canadian citizens.

Federal departments and agencies in Phase I

Federal departments and agencies are primarily responsible for dispute prevention because they are ultimately accountable for the program and policy decisions taken under their authority. They usually have the best knowledge of their department or agency, as well as the limits of their mandate. However, while they have a more developed knowledge of the department or agency, in order to manage any legal risks they should provide information to Justice and request an opinion based on the relevant facts when initiating a dispute prevention strategy.

Federal departments and agencies should:

- Ensure that they understand their authorities, priorities and objectives related to contracts, claims against the Crown, and anything else that falls within their mandate.
- Identify dispute prevention opportunities and strategies as part of program design and evaluation.
- Gather and provide relevant non-legal information related to proposed dispute prevention initiatives, such as statistics, existing policies and programs, and any lessons learned from previous endeavours.

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- Request legal advice and opinions related to any proposed dispute prevention initiative from specialists at Justice which include Legal Advisors in Department Legal Service Units, Litigation specialists, and Legislative Drafting specialists.

Justice Canada in Phase I

Justice's role in dispute prevention involves counsel playing a proactive role in the development of government policies and programs and in providing advice regarding legal risks.

Justice should:

- Provide legal advice and opinions related to dispute prevention opportunities.
- Identify and provide advice regarding any legal risks that may be associated with a dispute prevention initiative.²
- Assist with any dispute prevention initiative's implementation. For example, Justice could provide upon request:
 - Advisory services regarding any DPR initiative or program;
 - Representation or advice regarding any DR process; or
 - Legislative drafting services for proposed legislation, regulations or rules of procedure.

Conduct DR as part of the regulation and conduct of all litigation for or against the Crown.

Shared responsibility in Phase I

In light of the above, it is clear that there is a shared responsibility as both Justice and client department and agencies need to collaborate to ensure that opportunities for dispute prevention are identified, and that appropriate dispute prevention strategies are implemented that take into account possible legal risks.

Together, Justice and FDAs should:

- Work together to prevent disputes.
- Collaborate to identify opportunities for dispute prevention initiatives.
- Collaborate to identify any risks of dispute prevention initiatives.³
- Ensure effective communication and consultation during identification and implementation stages.
- Ensure clear planning and develop of a critical path for decisions related to dispute prevention initiatives.

Dispute Resolution and Prevention of Litigation – Phase II

The second phase of dispute management involves the resolution of existing disputes and the prevention of litigation. Once the department or agency has been notified of a dispute or complaint, the management of the dispute will depend upon what form the notification takes and what mechanisms are in place within the responsible department or agency to handle it. In some

² [Hyperlink to LRM Roles and Responsibilities document when it is available on the intranet]

³ [Hyperlink to LRM Roles and Responsibilities document when it is available on the intranet]

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instances, however, the dispute will jump directly to litigation from one of the earlier phases. For example, a constitutional challenge to a legislative provision or notification to Justice of a claim commenced in the superior court of a province would mean the matter would be referred directly to Justice (see the third phase of dispute management).

On the other hand, a department or agency involved in a contractual dispute with a third party could negotiate a settlement without a claim being filed at court, particularly where there is a mandatory DR clause contained in the contract between the parties. In other circumstances, in order to resolve a complaint arising out of a departmental policy, the parties may make use of a formal DR mechanism which has been explicitly set up by the department as part of its administration of that policy. For example, in many grants and contribution agreements, there is a standard DR clause that may be invoked by any party if a dispute arises during the term of the agreement.

Other complaints may be resolved in this phase by reference to an administrative body with investigative but not adjudicative powers (i.e. officers of Parliament such as the Privacy Commissioner).

Federal departments and agencies in Phase II

Federal departments and agencies are primarily responsible for the resolution of disputes which have not become formal legal claims. They are responsible for determining and seeking approvals for the appropriate settlement mandate, as well as, where necessary, giving instructions to counsel.

Federal departments and agencies should:

- Ensure that they understand their authorities, priorities and objectives related to contracts, claims against the Crown, and anything else that falls within their mandate.
- Resolve disputes that have not become legal claims, such as issues related to contracts, notices of intent, grievances, complaints etc.
- Request legal advice and opinions regarding disputes from specialists at Justice which include Legal Advisors in Department Legal Service Units, Litigation specialists, and Legislative Drafting specialists.
- Gather and provide to Justice any non-legal information regarding any outstanding disputes.
- Seek approval for settlement mandate and provide instructions to Justice counsel.
- Implement the resolution of any dispute.

Justice Canada in Phase II

Justice also has a role at this stage to provide advice and to assist the department or agency with the management of disputes in order to provide advice regarding the legal risks associated with them, and to try to suggest strategies that will prevent litigation from arising.

Justice should:

- Assist FDAs with the management of disputes.

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- Provide legal advice and opinions that address options for dispute resolution.
- Identify and provide advice regarding legal risks.
- Provide ongoing legal advice, including strategies to resolve disputes and prevent litigation, or perhaps to narrow the issues proceeding to litigation.
- Assist with the implementation of the resolution of a dispute. This may involve providing advice on existing policies and practices regarding settlement, or it may involve services such as legislative drafting.

Shared responsibility in Phase II

Depending on the nature of the dispute at hand, it is likely that the resolution of the dispute will be a shared responsibility between Justice and the implicated department or agency. Federal departments and agencies are responsible for providing all of the relevant information to Justice which, in turn, is responsible for providing appropriate legal advice, including options for resolution.

Together, Justice and FDAs should:

- Work together to settle disputes.
- Ensure effective communication and consultation between Justice and its client: all parties should fully understand the nature of the dispute, as well as the options for resolution, and opportunities to prevent further disputes.
- Ensure that the implementation of any resolution is within the FDA's authority and mandate, and does not contravene any existing policies.
- Share lessons learned.
- Seek training and information sharing opportunities.

Litigation and Resolution of Litigation – Phase III

The third phase of dispute management involves litigation and its resolution, ideally through an appropriate DR process once a decision to do so has been made and a settlement mandate has been received. Provided that there are no legal or policy restrictions to settling the matter outside of court, the use of specific DR processes such as negotiation or mediation in the context of litigation can result in an efficient and cost-effective resolution of the case. If the matter is not settled through an appropriate DR process, a Court or a tribunal will decide the outcome of the case, thus imposing a resolution.

Justice Canada in Phase III

Justice is responsible for the regulation and conduct of all litigation for and against the Crown, and therefore has a leading role in the resolution of litigation. Counsel must understand the legal risks at hand, provide legal advice to the client department and agency, and represent the client's positions and interests in front of the courts or tribunals, depending on the nature of the litigation.

Justice should:

- Conduct all litigation for and against the Crown.
- Provide comprehensive ongoing legal advice to its client, including options for settlement.

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- Identify and provide advice regarding legal risks.
- Effectively communicate its client's positions and interests to adjudicators.
- Assist with the implementation of the resolution of any dispute.

Federal departments and agencies in Phase III

The client department or agency has a role in instructing Justice counsel, providing all relevant information, and determining what, if anything, would be an appropriate settlement to resolve the litigation. The client department or agency will have a better understanding of its authorities, priorities and objectives than Justice. Furthermore, only the client department or agency may seek and/or authorize a settlement mandate.

Federal departments and agencies should:

- Ensure that they understand their authorities, priorities and objectives related to contracts, claims against the Crown, and anything else that falls within their mandate.
- Gather and provide to Justice any non-legal information regarding any legal claims.
- Seek approval for settlement mandate and provide instructions to Justice counsel.
- Implement the resolution of any dispute.

Shared responsibility in Phase III

There is a shared responsibility for both Justice and the client department to ensure that any litigation or resolution takes into account the "whole of government" legal interests. This may be accomplished through effective communication and consultation between Justice and the client department. Without open and direct communication, Justice will have difficulty acting on its client's behalf, and the client department or agency may not be able to provide appropriate instructions to counsel that take into account all of the legal risks that may be involved, as well as the client's priorities and objectives.

Together, Justice and FDAs should:

- Consider the "whole of government" interests when examining any proposed resolutions to disputes.
- Ensure effective communication and consultation takes place throughout the litigation process.
- Implement the resolution of any dispute in a manner that takes into account existing policies and programs.

Capacity Building

Though not an official phase of dispute management, capacity building is important in order to ensure that all the phases may be carried out. Capacity building supports the effective and efficient use of DPR: it allows individuals to develop the ability to recognize and then implement DPR strategies.

Justice and other federal departments and agencies are both responsible for enabling an understanding of DPR processes and responsibilities, particularly as it relates to legal disputes.

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To achieve this, they must work collaboratively to ensure that DPR strategies are considered and implemented in accordance with clearly defined roles and responsibilities and that proper training is provided. Both Justice and federal departments and agencies are responsible for building their respective DPR capacities, although they may choose to emphasize different aspects of DPR.

For example, Justice supports DPR by providing DPR training and information and tools to Justice employees which allows for a greater understanding of DPR within the federal government, although training tends to emphasize the effective use of DR mechanisms rather than aspects of prevention. Federal departments and agencies may offer their own training that has a stronger emphasis on dispute prevention through the creation of appropriate policies or procedures that fall within the department or agency's mandate.

Federal departments and agencies in Capacity Building

Federal departments and agencies should:

- Provide or request training on DPR
- Consider DPR in the development of any new initiative, program or policy, and not just as the resolution of a legal claim or dispute.

Justice Canada in Capacity Building

Justice should:

- Develop common processes, practice and information tools for DPR.
- Promote, support and maintain legal knowledge of DR and DPR.
- Provide counsel with training regarding DPR processes.
- Consider DPR as part of any legal practice – advisory, legislative or litigation.

Shared responsibility in Capacity Building

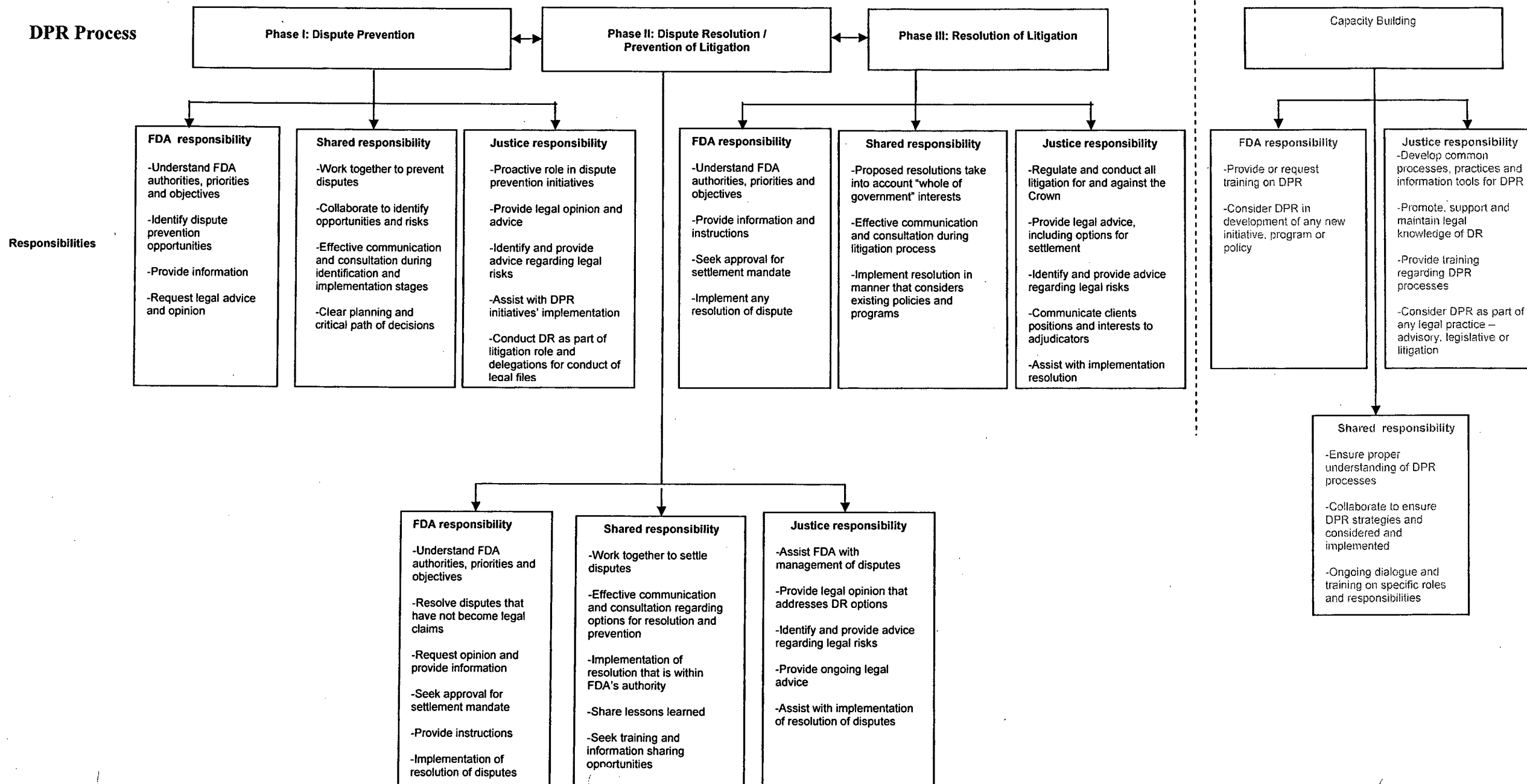
Together, Justice and FDAs should:

- Ensure proper understanding of DPR processes, particularly, but not exclusively, as they relate to legal disputes.
- Collaborate to ensure DPR strategies are considered and implemented.
- Continue an ongoing dialogue and training on specific roles and responsibilities as they relate to DPR

Conclusion

By way of conclusion, an increased understanding of DPR helps ensure that all federal departments and agencies are involved in identifying the need for, and implementing DPR strategies where appropriate, and that they engage Justice in the use of DPR to both prevent and resolve disputes.

Annex A – Dispute Prevention and Resolution: Roles and Responsibilities



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Dispute Prevention and Resolution
within ~~Federal Departments and Agencies~~ the Government of Canada:
Roles and Responsibilities

Purpose

This paper describes roles and responsibilities pertaining to the identification and implementation of dispute prevention and resolution (DPR) initiatives related to the legal services offered to federal department and agencies (FDA) by the Department of Justice Canada (Justice).

Dispute resolution¹ (DR) refers to any process used to resolve a conflict and includes informal, consensual processes such as negotiation, as well as formal rights-based ~~processes~~ones, such as litigation. DPR includes the additional element of strategies to prevent disputes from arising. When effectively employed, DPR may allow for a reduction in costs associated with litigation, as well as better use of resources by both the client FDAs and by Justice.

DPR is an effective management tool for both Justice counsel and FDAs. Given the need for timely and cost efficient management of disputes, particularly those that are less complex and involve less risk, there is a clear need for departments and agencies within the Government of Canada FDAs to strategically manage litigation through the use of appropriate DPR processes. There is no dispute that should not be, at a minimum, reviewed to see if it could be settled through some form of DPR. However, there are some disputes that are more obvious as being appropriate for settlement. Settling straightforward cases allows the Government to focus its resources on matters that cannot be settled, such as Constitutional issues, or those that are less appropriate for settlement such as test cases or those with a high likelihood of success.

Justice recognizes the importance of DPR. The Department's *Policy on Dispute Resolution*² affirms the responsibility of all Justice employees to make every effort to prevent disputes from arising, and where they do arise, to address them as early and effectively as possible in order to avoid the courts becoming the only avenue of recourse. Further, the *Justice Early Settlement*

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¹ Terminology in the field of dispute resolution reflects various points of view among practitioners, experts and academics. Varied use of terminology also reflects trends in regions and jurisdictions in Canada, as well as internationally. For example, DPRD recognizes that there is some debate regarding the terms "appropriate" or "alternative" and the meaning and use of the word "prevention." Further, there are different acronyms used, such as the English term "ADR" and the French term "MARC", to represent various combinations and points of view on these terms.

For ease of reference, the broad term "dispute resolution" (DR) has been used throughout this Roles and Responsibilities document to generally capture the various perspectives. Where necessary in this document specific terminology related to specific contexts has been used, such as dispute prevention and resolution (DPR) where there is a clear element of prevention described.

² [\[Hyperlink to DR Policy\]](#)

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| *Practice Advisory*³ encourages Crown agents and civil Crown counsel to settle cases expeditiously and at an early stage of the legal dispute.

| ~~Client departments and agencies FDAs~~ also understand the importance of DPR. ~~Client departments and agencies FDAs~~ frequently request training on DPR issues, and in surveys regarding the legal services offered by Justice, have repeatedly requested more information regarding DR and DR processes.

| ~~DPR is an effective management tool for both Justice counsel and federal departments and agencies (FDAs). Given the need for timely and cost efficient management of disputes, particularly those that are less complex and involve less risk, there is a clear need for departments and agencies within the Government of Canada to reduce litigation through the use of appropriate DPR processes. Settling uncomplicated cases that are not high risk allows the Government to focus its resources on higher risk matters that cannot be settled, such as Constitutional issues, or those that are not appropriate for settlement such as test cases or those with a high likelihood of success. Both Justice and client department and agencies FDAs have their respective roles in the DPR process to evaluate disputes and then to select the most appropriate DR process available. However, there is also a shared responsibility of Justice and client department and agencies FDAs and a need for collaboration in this process.~~

Dispute Prevention and Resolution: A Joint Responsibility

| The most appropriate method to resolve a particular dispute should be based on a careful assessment of the facts, the law, costs (including both human resources as well as financial expenditures), and risks, ~~as well as an evaluation of the interests of the parties, the nature of the conflict, and any statutory legislative or policy restrictions governing the use of a particular DR process. The responsibility for this does not rest uniquely with either Justice or the client department or agency FDA. While each has certain responsibilities for which that it alone is accountable for, both Justice and the client department and agency FDA also have shared responsibilities at each phase of dispute management.~~

| ~~The A chart outlining summing up and schematizing roles and responsibilities is found in Annex A of the this present document and is broken down into three categories: Federal departments and agencies FDA's responsibility, shared responsibility, and Justice responsibility.~~

ROLES AND RESPONSIBILITIES AT EACH STEP OF THE DPR PROCESS

Dispute Prevention – Phase I

| Dispute Prevention is the first phase of dispute management and is intended to prevent disputes or conflicts from arising ~~within the Government of Canada or between the Crown and third parties. A department or agency might, for example, develop a policy or program or have operations aimed at preventing or resolving anticipated disputes between the gGovernment and Canadians citizens.~~

³ [Hyperlink to *Early Settlement Practice Advisory*]

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Federal departments and agencies in Phase I

~~Federal departments and agencies~~FDAs are primarily responsible for dispute prevention because they have the requisite knowledge of their mandate and are ultimately accountable for the program and policy decisions taken under their authority. ~~They usually have the best knowledge of their department or agency, as well as the limits of their mandate. However, while they have a more developed knowledge of the department or agency~~their FDA, in order to manage any *legal* risks they should provide information to Justice and request an opinion based on the relevant facts when initiating a dispute prevention strategy.

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~~Federal departments and agencies~~FDAs should:

- Ensure that they understand their authorities, priorities and objectives related to contracts, claims against the Crown, and anything else that falls within their mandate.
- ~~Identify~~ Consider potential dispute prevention opportunities and strategies as part of program design and evaluation.
- Gather and provide relevant non-legal information related to proposed dispute prevention initiatives, such as statistics, existing policies and programs, and any lessons learned from previous endeavours.
- Request legal advice and opinions related to any proposed dispute prevention initiative from specialists at Justice, ~~which include Legal Advisors in Department Legal Service Units, Litigation specialists, and Legislative Drafting specialists.~~

Justice Canada in Phase I

Justice's role in dispute prevention involves counsel playing a proactive role in the development of government policies and programs and in providing advice regarding legal risks.

Justice should:

- Provide legal advice and opinions related to dispute prevention opportunities.
- Identify and provide advice regarding any legal risks that may be associated with a dispute prevention initiative.⁴
- Assist with any dispute prevention initiative's implementation. For example, Justice could provide upon request:
 - Advisory services regarding any DPR initiative or program;
 - Representation or advice regarding any DR process; or
 - Legislative drafting services for proposed legislation; ~~regulations or rules of procedure.~~
 - Conduct ~~Incorporate~~ DR processes or approaches as part of the regulation and conduct of all litigation for or against the Crown.

Shared responsibility in Phase I

In light of the above, it is clear that there is a shared responsibility as both Justice and ~~client department and agencies~~FDAs need to collaborate to ensure that opportunities for dispute

⁴ [Hyperlink to LRM Roles and Responsibilities document when it is available on the intranet]

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prevention are identified, and that appropriate dispute prevention strategies are implemented that take into account possible legal risks.

Together, Justice and FDAs should:

- Work together to prevent disputes.
- In the absence of any existing disputes, continue to share information about lessons learned regarding previous DPR opportunities.
- Collaborate to identify opportunities for early dispute prevention initiatives and to continue to re-assess appropriate DR options and opportunities as the matter progresses.
- Collaborate to identify any risks of dispute prevention initiatives.⁵
- Ensure effective communication and consultation during identification and implementation stages.
- Ensure clear planning and develop of a critical path for decisions related to dispute prevention initiatives.

Dispute Resolution and Prevention of Litigation – Phase II

The second phase of dispute management involves the resolution of existing disputes and the prevention of litigation. Once ~~the department or agency~~ an FDA has been notified of a dispute or complaint, ~~how the management of the dispute will be managed will~~ depend upon what form the notification takes and what mechanisms are in place within the responsible ~~department or agency~~ FDA to handle it. In some instances, however, the dispute will jump directly to litigation from either Phase I or II ~~one of the earlier phases~~. For example, a constitutional challenge to a legislative provision or notification to Justice of a claim commenced in ~~the~~ a superior court of a province would mean that the matter would be referred directly to Justice (see ~~the third phase~~ Phase III of dispute management).

On the other hand, ~~an FDA~~ department or agency involved in a contractual dispute with a third party could negotiate a settlement without a claim being filed at court, particularly where there is a ~~mandatory~~ DR clause contained in the contract between the parties. In other circumstances, in order to resolve a complaint arising out of a departmental policy, the parties may make use of a formal DR mechanism which has been explicitly set up by the ~~department~~ FDA as part of its administration of that policy. For example, in many grants and contribution agreements, there is a standard DR clause that may be invoked by any party if a dispute arises during the term of ~~the~~ an agreement.

Other complaints may be resolved in this phase by reference to an administrative body with investigative but not adjudicative powers (i.e. Officers of Parliament such as the Privacy Commissioner of Canada).

Federal departments and agencies in Phase II

~~Federal departments and agencies~~ FDAs are primarily responsible for the resolution of disputes which have not become formal legal claims. They are responsible for determining and seeking

⁵ [Hyperlink to LRM Roles and Responsibilities document when it is available on the intranet]

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approvals for the appropriate settlement mandate, as well as, where necessary, giving instructions to counsel. Note that any settlements should comply with the Treasury Board Directive and Guidelines on Claims and Ex Gratia Payments, where applicable.

Comment [BW1]: Hyperlink to Directive

Federal departments and agencies FDAs should:

- Ensure that they understand their authorities, priorities and objectives related to contracts, claims against the Crown, and anything else that falls within their mandate.
- Resolve disputes that have not become litigated disputes legal claims, such as issues related to contracts, notices of intent, grievances, complaints etc.
- Request legal advice and opinions regarding disputes from specialists at Justice which include Legal Advisors in Department Legal Service Units, Litigation specialists, and Legislative Drafting specialists.
- Gather and provide to Justice any non-legal information regarding any outstanding disputes.
- Seek approval for settlement mandate and provide instructions to Justice counsel.
- Implement the resolution of any dispute.

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Justice Canada in Phase II

Justice also has a role at this stage to provide advice and to assist the department or agency with the management of disputes in order to provide advice regarding the legal risks associated with them, and to try to suggest strategies that will prevent litigation from arising.

Justice should:

- Assist FDAs with the management of disputes.
- Provide legal advice and opinions that address options for dispute resolution.
- Identify and provide advice regarding legal risks.
- Provide ongoing legal advice, including strategies to resolve disputes and prevent litigation, or perhaps to narrow the issues before proceeding to litigation.
- Assist with the implementation of the resolution of a dispute. This may involve providing advice on existing policies and practices regarding decision making and settlement, or it may involve services such as legislative drafting.

Shared responsibility in Phase II

Depending on the nature of the dispute at hand, it is likely might very well be that the resolution of the dispute will be a shared responsibility between Justice and the implicated ~~department or agency~~ FDA. ~~Federal departments and agencies~~ FDAs are responsible for providing all of the relevant information to Justice which, in turn, is responsible for providing appropriate legal advice, including options for resolution.

Together, Justice and FDAs should:

- Work together to settle disputes.

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- Ensure effective communication and consultation between Justice and its client the FDA: all parties should fully understand the nature of the dispute, as well as the options for resolution, and opportunities to prevent further disputes.
- Ensure that the implementation of any resolution is within the FDA's authority and mandate, and does not contravene any existing policies.
- Share lessons learned.
- Seek training and information sharing opportunities.

Litigation and Resolution of Litigation – Phase III

The third phase of dispute management involves ~~litigation and its resolution~~ the resolution of litigation, ideally through an appropriate DR process once a decision to do so has been made and a settlement mandate has been received. Provided that there are no legal or policy restrictions to settling the matter outside of court, the use of specific DR processes such as negotiation or mediation in the context of litigation can result in an efficient and cost-effective resolution of the case. If the matter is not settled through an ~~appropriate~~ DR process, a ~~c~~ourt or a tribunal will decide the outcome of the case, thus imposing a resolution.

Courts and tribunals are increasingly placing a heavy emphasis on DR. Many tribunals and some courts require parties to engage in formal settlement discussions or in DR processes such as mediation before a trial date can be obtained set. As a result of this change in the way law is practiced, knowledge of DR processes – such as judicial mediation or settlement conferences - is one of the key competencies that any Justice litigator should develop.

Federal Departments and Agencies in Phase III

The FDA has a role in instructing Justice counsel, providing all relevant information, and determining what, if anything, would be an appropriate settlement to resolve the litigation. The FDA will have a better understanding of its authorities, priorities and objectives than Justice. Furthermore, only the FDA may seek and/or authorize a settlement mandate.

FDA's should:

- Ensure that they understand their authorities, priorities and objectives related to contracts, claims against the Crown, and anything else that falls within their mandate.
- Gather and provide to Justice any non-legal information regarding any legal claims.
- Carefully consider options for settlement and possible DR processes.
- Seek approval for settlement mandate and provide instructions to Justice counsel.
- Implement the resolution of any dispute.

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Justice Canada in Phase III

Justice is responsible for the regulation and conduct of all litigation for and against the Crown, and therefore has a leading role in the resolution of litigation. Counsel must understand the legal risks as a whole and as they relate to civil litigation costs⁶ at hand, provide legal advice to athe

⁶ [Hyperlink to Taking a Risk Management Approach to Civil Litigation Costs in the Government of Canada]

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~~client the client department and agency~~ FDA, and represent the ~~client's~~ Crown's positions and interests in front of the courts or tribunals, depending on the nature of the litigation.

Justice should:

- Conduct all litigation for and against the Crown.
- Provide comprehensive ongoing legal advice to its client the FDA, including options for early settlement.
- Assess at the earliest stage possible what DR options might be appropriate to recommend to the client FDA as an efficient and effective method to reach a settlement.
- Identify and provide advice regarding legal risks.
- Effectively communicate its client's the Crown's positions and interests effectively to adjudicators.
- Assist with the implementation of the resolution of any dispute.

~~Federal departments and agencies in Phase III~~

~~The client department or agency FDA has a role in instructing Justice counsel, providing all relevant information, and determining what, if anything, would be an appropriate settlement to resolve the litigation. The client department or agency FDA will have a better understanding of its authorities, priorities and objectives than Justice. Furthermore, only the client department or agency FDA may seek and/or authorize a settlement mandate.~~

~~Federal departments and agencies~~ FDAs should:

- ~~Ensure that they understand their authorities, priorities and objectives related to contracts, claims against the Crown, and anything else that falls within their mandate.~~
- ~~Gather and provide to Justice any non-legal information regarding any legal claims.~~
- Carefully consider options for settlement and possible DR processes.
- ~~Seek approval for settlement mandate and provide instructions to Justice counsel.~~
- ~~Implement the resolution of any dispute.~~

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Shared responsibility in Phase III

There is a shared responsibility for both Justice and the ~~client department~~ FDA to ensure that any litigation or resolution takes into account the "whole of government" legal interests. This may be accomplished through effective communication and consultation between Justice and the ~~client client department~~ FDA and any other relevant departments and agencies as early as possible. Without open and direct communication, Justice will have difficulty acting on its ~~client's~~ the Crown's behalf, and the ~~client department or agency~~ FDA may not be able to provide appropriate instructions to counsel that take into account all of the legal risks that may be involved, as well as the ~~client's~~ sits priorities and objectives.

Together, Justice and FDAs should:

- Discuss the possibility of DR options and settlement at early stages of any litigated disputes.

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- Consider the “whole of government” interests when examining any proposed resolutions to disputes.
- Ensure effective communication and consultation takes place throughout the litigation process.
- Implement the resolution of any dispute in a manner that takes into account existing policies and programs.

Capacity-Building

Though not an official phase of dispute management, capacity-building is important in order to ensure that all the phases may be carried out. Capacity-building supports the effective and efficient use of DPR: it allows individuals to develop the ability to recognize and then implement DPR strategies.

Justice and other federal departments and agencies FDAs are both responsible for enabling an understanding of DPR processes and responsibilities, particularly as it relates to legal disputes. To achieve this, they must work collaboratively to ensure that DPR strategies are considered and implemented in accordance with clearly defined roles and responsibilities and that proper training is provided.

Both Justice and federal departments and agencies FDAs are responsible for building their respective DPR capacities, although they may choose to emphasize different aspects of DPR. For example, Justice supports DPR by providing DPR training and information and tools to Justice employees, which allows for a greater understanding of DPR within the federal government, although training tends to emphasize the effective use of DR mechanisms rather than aspects of prevention. FDAs may offer their own training that has a stronger emphasis on dispute prevention through the creation of appropriate policies or procedures that fall within the FDA's mandate.

For example, Justice supports DPR by providing DPR training and information and tools to Justice employees which allows for a greater understanding of DPR within the federal government, although training tends to emphasize the effective use of DR mechanisms rather than aspects of prevention. Federal departments and agencies may offer their own training that has a stronger emphasis on dispute prevention through the creation of appropriate policies or procedures that fall within the department or agency's mandate.

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Federal departments and agencies in Capacity-Building

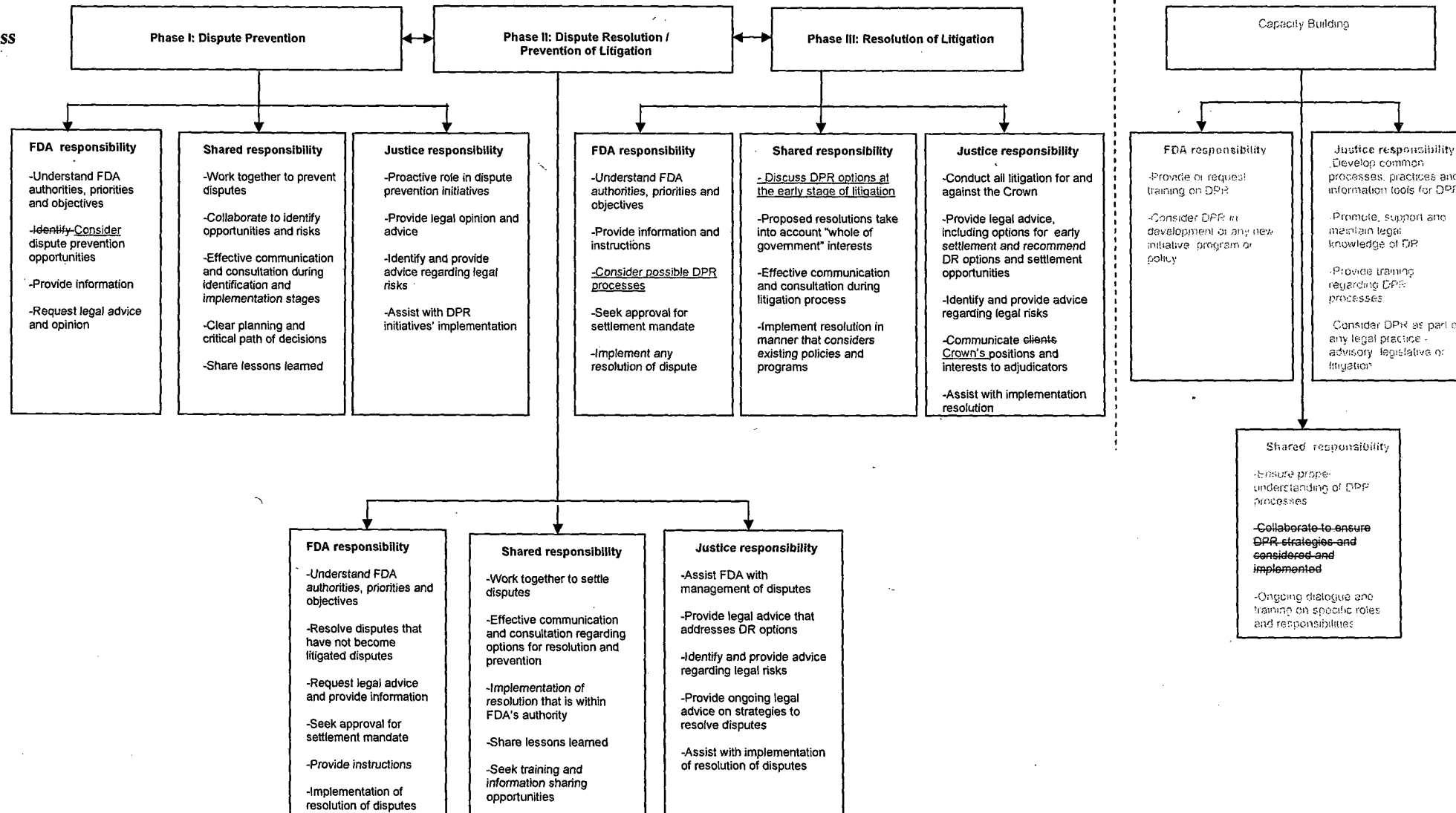
Federal departments and agencies FDAs should:

- Provide or request training on DPR, including training on roles and responsibilities of counsel and client official on various DR options.
- Consider DPR in the development of any new initiative, program or policy, and not just as the resolution of a legal claim or dispute.

Annex A – Dispute Prevention and Resolution: Roles and Responsibilities

DPR Process

Responsibilities





Unclassified

File number -- Numéro de dossier

91025-1

Date

September 12, 2012

Telephone / FAX

941-7890 / 957-6377

MEMORANDUM / NOTE DE SERVICE

TO / DEST: Management Committee Members

FROM / ORIG: Joel Oliver, Acting Assistant Deputy Minister, Management Sector

SUBJECT / OBJET: Update on the Performance Measurement Framework Project of the Dispute Prevention and Resolution Division (DPRD), Law Practice Management Directorate (LPMD).

Comments/Remarques

PURPOSE

The purpose of this memo is to: i) update you on the recent reductions to the scope of the DPRD Performance Measurement Framework project endorsed by LPM.Com in 2011 and discussed at Management Committee in 2012; and ii) inform you of next steps.

BACKGROUND

Chapter 5 (*Managing the Delivery of Legal Services to Government*) of the 2007 Office of the Auditor General (OAG) report included the following recommendation:

"In addition to its current management of alternative dispute resolution initiatives, Justice Canada should ensure that it clearly defines each initiative's objectives, estimates the potential cost savings and formally reviews the outcome of initiatives against their objectives."

In April 2008, then Deputy Minister Sims appeared before the Public Accounts Committee (PAC) where he referred to planned projects to evaluate dispute resolution (DR) processes and to study whether a mandatory mediation model could produce benefits for the government.

In 2009, DPRD completed an analysis of the federal experience in mediation in response to the commitments to the PAC. This analysis showed that over 90 percent of the civil litigation files examined were settled and that over 60 percent of those cases were settled prior to discovery. Negotiation was the most frequent DR process. The analysis results informed DPRD initiatives in 2010-2011 aimed at better implementation and management of DR initiatives, such as:

- DPRD's training program expansion to a wider audience in Sectors, Regions and Portfolios.
- Creation of a DR Consultative Group to provide advice and guidance on the development, implementation and maintenance of projects, policies, processes and tools related to DR.
- The development of a DR Performance Measurement Framework (see below).

On June 14, 2011, DPRD presented a Performance Measurement Framework project to LPM.Com. This was aimed, in part, at responding to the OAG report but also at broader longer-term evaluation and measurement needs. The project's elements were to ultimately ensure that Justice would have:

- Systems in place for regular reporting on DR;
- Ongoing and methodologically-sound analysis of the value of DR;
- Information to support operational decision-making on DR in the management of the litigation inventory; and

- 2 -

- Tools and capacity to support and advise clients in the use of performance measurement in their own DR programs and initiatives.

The project included a detailed timeline to 2014-15, with deliverables in each year to demonstrate progress. The timeline was considered as an acceptable trade-off for the comprehensive end product.

The project was discussed and endorsed as presented by LPM.Com (see attached Record of Decision). Further, the requirement and benefits of the multi-year timeline were discussed with former Associate Deputy Minister Côté in the context of annual OAG reporting prior to the June 2011 meeting of LPM.Com.

In January 2012, DPRD presented an update on its initiatives, including the Performance Measurement Framework, to the Management Committee.

CURRENT STATUS

At the end of 2011-2012, the project based on the LPM.Com presentation was on target and approximately 25% completed. However, in May 2012, the Audit Management Response and Evaluation Committee requested that timelines and deliverables be re-examined with the objective of accelerating the work to respond to the Auditor General's specific recommendation.

To respond to the request to accelerate the project, DPRD has significantly revised the original LPM.Com project in order to deliver the following limited components by December 2012:

- Document on roles and responsibilities in DR;
- Template "logic model" for DR initiatives along with suggested performance indicators;
- Guidance document on establishing a performance measurement framework based on the draft logic model and indicators; and
- Communications plan.

This revised project focuses exclusively on responding to the 2007 OAG Report. Several aspects originally contemplated by LPM.Com will no longer form part of the accelerated approach. These include, but are not limited to: the development of regular reporting mechanisms and supporting analytical approaches for DR, a detailed guide to performance measurement of DR, increased metrics on the development of DR capacity within Justice, and "on the ground" testing of key elements of the framework. Subject to the results of the current review of the mandate of LPMD, these dropped elements may become future initiatives depending on available resources, priorities, and mandate.

The accelerated and reduced project was approved by Joel Oliver, A/Assistant Deputy Minister, Management Sector, and presented to the Departmental Audit Committee in mid-July 2012.

CONSIDERATIONS

The overall challenge of the project is developing a meaningful framework that can be applied by practitioners to their DR activities to ultimately show the value of DR over costly and lengthy adjudicated processes. While there is general agreement that DR is an important way to mitigate legal risk, manage the litigation inventory, and to inform strategic and operational decisions, establishing systems and methods to concretely demonstrate the impact of DR is complex.

There are risks that the revised project may be considered too theoretical or minimal by the OAG and/or users. However, this risk is mitigated by consultation and advice from the Office of Strategic Planning and Performance Management whose advice was that the revised project would likely be sufficient to satisfy central agencies in the context of the OAG report. To this end, the revised Performance Measurement project will nonetheless provide key core components such as a template logic model to support efforts to demonstrate the outcomes of DR by practitioners and managers in future initiatives along with guidance on its application.

NEXT STEPS

Drafts for consultation with various areas of Justice will be completed in October and November 2012. DPRD will use existing networks to consult your staff, such as working groups, practice groups and the DR Consultative Group, to seek input on the framework. However, DPRD would welcome the identification of any additional contacts in Justice regions, portfolios and sectors who could act as sounding boards for framework content. Given the accelerated timeline, DPRD seeks to ensure that material developed will be relevant and meaningful to its final users (i.e. litigators, advisory counsel, policy analysts etc.).

The Deputy Minister will be briefed on progress in September 2012.

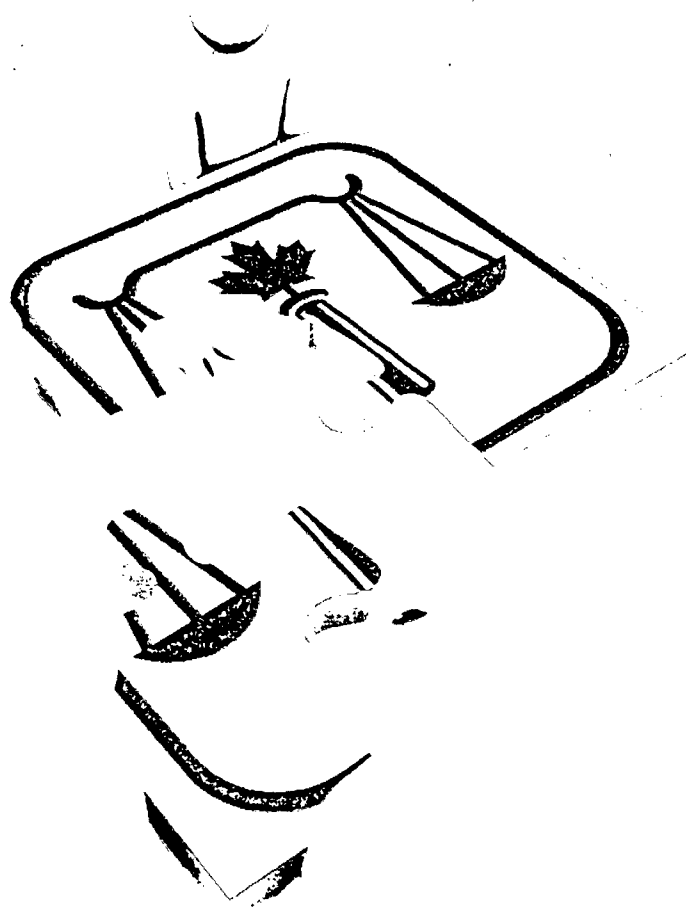
A final draft framework will be submitted to Management Committee in December 2012 or January 2013 for discussion, including consideration of proceeding to Executive Committee.

Should you, or members of your respective areas, have any questions, please contact Jonathan Allen, Deputy Director, DPRD at 613-941-3796

Joel Oliver

cc. Michel Francoeur
Jonathán Allen

ATTACH (Record of Decision, Item 6, Law Practice Management Committee (LPM.Com) June 14, 2011)



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Analyse Post Mortem:

**Impact d'une approche de
règlement des différends
au litige fiscal**

**Division de prévention et de règlement des différends et Direction des
affaires fiscales (Bureau régional du Québec)**

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SOMMAIRE

En 2009, la Division de prévention et de règlement des différends (ci-après nommée « DPRD ») et le Bureau régional du Québec (ci-après nommé « BRQ ») du ministère de la Justice ont collaboré avec l'Agence du revenu du Canada (ci-après nommée « ARC ») afin de développer et mettre en application un mécanisme de règlement de différend (ci-après nommé « RD ») pour régler plusieurs dossiers de même nature inscrits en appel à la Cour canadienne de l'impôt (ci-après nommée « CCI »). Sur le total de 60 dossiers, 55 ont été réglés par un processus de négociation tandis que les 5 autres ont poursuivi le chemin judiciaire à la demande des contribuables concernés.

Un des buts de ce projet était de faciliter la résolution des dossiers d'une manière économiquement efficiente. Le présent rapport tente d'isoler l'impact du mécanisme de règlement du différend en examinant les coûts et le niveau d'efforts relatifs aux dossiers réglés par négociation par rapport à une variété de modèles portant sur les coûts potentiels de ces dossiers s'ils avaient effectivement été traités à la CCI.

Cet examen suggère que l'utilisation du mécanisme de RD pour les cas en l'espèce démontre une économie de coûts considérable. Selon le modèle de calcul de coûts utilisé, la fourchette d'économie de coût est estimée entre un minimum de 66 881,96 \$ et un maximum de 164 056,86 \$. Cet examen est une première étape d'analyse et demeure provisoire en raison du manque de certaines données dans le système iCase au moment où les dossiers se sont déroulés et des lacunes de la méthodologie utilisées.

Le Procureur Général et le Directeur
Director, General Counsel of the Government of Canada

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OBJECTIF

Le présent document a pour but d'examiner les coûts relatifs à une série de dossiers d'appels à la CCI ayant fait l'objet d'une approche systématique de RD par le Ministère de la Justice avec le concours l'ARC. Il est à noter que la présente étude doit être interprétée comme un « essai » dont la nature demeure purement spéculative. Il ne s'agit pas d'une analyse exhaustive déterminante sur le sujet de l'efficacité des coûts puisqu'il existe des limites dans les données disponibles et que des questions méthodologiques demeurent. L'objectif des présentes est plutôt de susciter des discussions sur l'impact d'un cas réel d'utilisation d'un mécanisme de RD. Notons que les présentes ont été développées de concert avec la division des pratiques d'affaires et une avocate ayant œuvré dans les dossiers concernés. Nous espérons que le lecteur conservera à l'esprit ces remarques tout au long de ce document.

CONTEXTE

- L'ARC a suspendu soixante appels logés à la CCI par des contribuables [REDACTED] – le corpus de ces dossiers comprend des dossiers tous très similaires quant à la nature, la complexité, le niveau de risque et comportaient aussi des aspects spécifiques à chaque cas.
- Le directeur de la Direction des affaires fiscales (ci-après nommée « DAF ») du BRQ a demandé l'assistance de la DPRD pour parvenir à un règlement hâtif de cette série de dossiers. [REDACTED]
- L'approche préconisée par la DPRD était d'utiliser une approche systématique et coordonnée pour régler les dossiers par la négociation.

OBJECTIFS DE L'APPROCHE DE RD

- Réduire le temps et le coût de résolution des litiges;
- Régler les dossiers par négociation lorsque approprié;
- Établir une approche de règlement cohérente et efficace.

ÉLÉMENTS DE L'APPROCHE DE RD

- Exploration de possibilité de règlement dans tous les dossiers;
- Conception de système par la DPRD favorisant une approche de négociation;
- [REDACTED]
- Approche proactive auprès des représentants des contribuables;
- Rencontres en personne avec le contribuable, le juriste de la DAF et un représentant de l'ARC;
- Tenue d'un tableau des discussions et ententes avec les contribuables permettant aux juristes de toujours être informés des développements dans les dossiers des autres collègues de la DAF et avec les représentants de l'ARC;
- Formation en négociation aux juristes de la DAF par DPRD ;
- Disponibilité de la DPRD en tout temps pour répondre aux questions des avocats.

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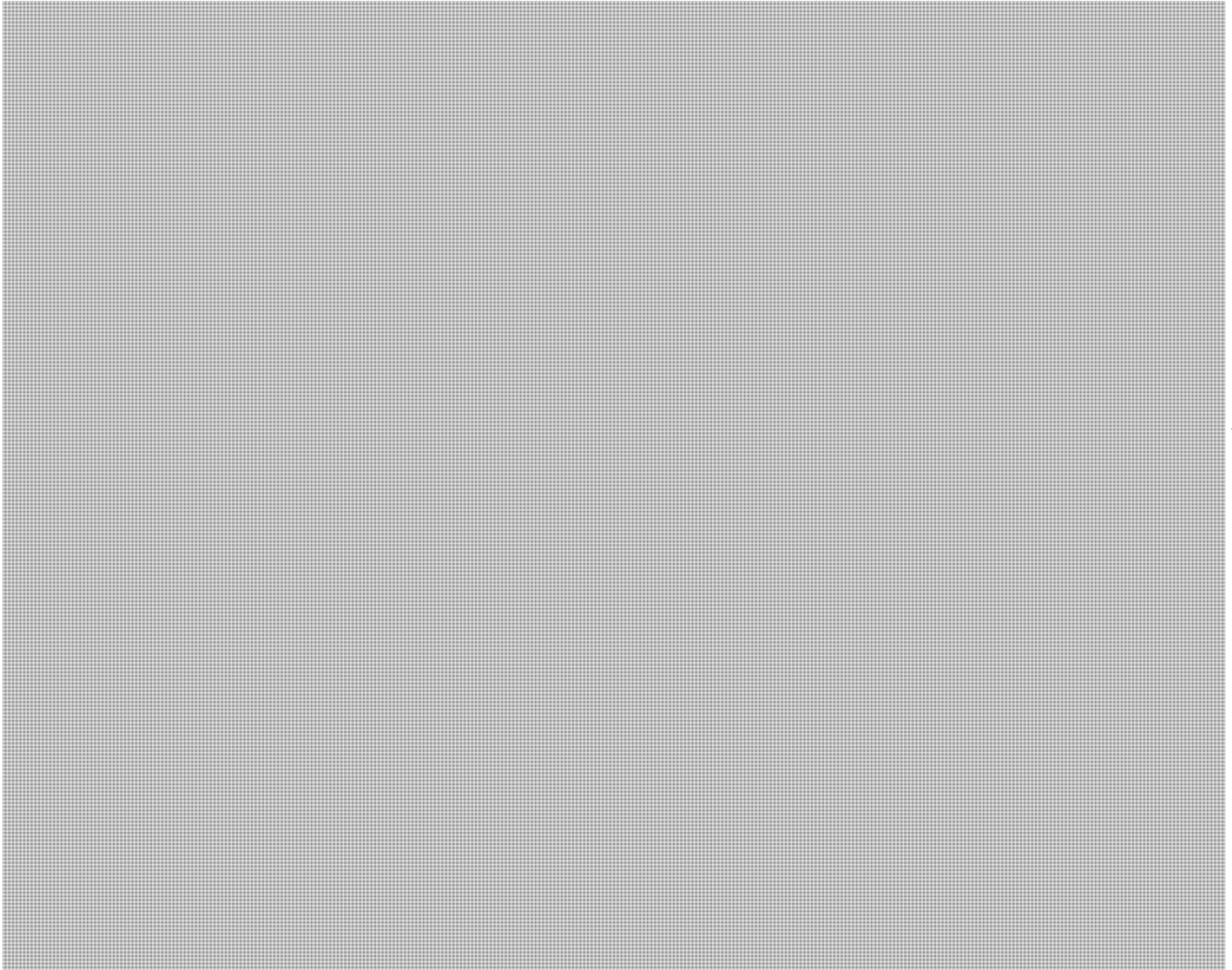


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FACTEURS COMMUNS À TOUS LES DOSSIERS

Corpus des dossiers :

- 60 dossiers étaient sous la responsabilité de 4 avocats de niveau LA-1A et LA-2A;
- 55 dossiers réglés par la négociation et 5 dossiers réglés à la CCI.



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MÉTHODOLOGIE DU CALCUL DU TEMPS DES JURISTES CONSACRÉ À CES DOSSIERS

Afin d'explorer l'impact de l'approche du mécanisme de RD, nous avons développé différents modèles d'analyse. Le premier modèle compare le niveau moyen d'efforts que les juristes ont consacré aux 5 dossiers traités à la CCI avec celui des 55 dossiers négociés sur la base de toutes données obtenues à partir d'iCase. Notons que l'analyse pour les dossiers traités à la CCI a été faite en considérant uniquement les heures travaillées (le montant total ci-dessous ne comprend pas les voyages, frais de dossiers, frais de transcription, frais de photocopies ou tout autre coût et frais accessoires, le cas échéant, ainsi que les coûts et les frais assumés par le client tels que le temps pour les instructions, la préparation, la recherche, approbation quelconque à obtenir (autorité), discussion entre collègue, etc.). Par conséquent, bien que non quantifié, ces autres frais et coûts auraient pour effet d'augmenter considérablement le montant indiqué.

Le deuxième modèle, est basé sur le niveau d'effort qui aurait été déployé dans l'hypothèse du meilleur scénario possible advenant le traitement par la CCI des 55 dossiers négociés (estimé fait avec l'assistance d'un des juristes responsables de ces dossiers). Nous avons développé ce dernier modèle dans hypothèse où ces dossiers auraient été traités dans le cadre du meilleur scénario possible suivant l'avis et les estimations fournis par l'avocate de la DAF mais gardant à l'esprit que ce scénario est purement général et spéculatif puisqu'il est impossible d'estimer avec certitude la finalité de chacun des 55 dossiers dans l'hypothèse où ils avaient réellement été traités à la CCI et de déterminer l'impact sur le niveau d'effort requis.

En outre, certaines remarques doivent être faites dans l'interprétation des résultats de ces analyses. Les calculs ne tiennent pas compte d'économie d'échelle de coût, laquelle ne pourrait être que potentiellement établie dans le cadre d'une action judiciaire conjointe, si une telle action existe.

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**Pages 762 to / à 766
are withheld pursuant to section
sont retenues en vertu de l'article**

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**of the Access to Information Act
de la Loi sur l'accès à l'information**



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AVENUES FUTURES POUR CONSIDÉRATION ET ANALYSE

L'analyse préliminaire de ce cas semble indiquer qu'il existe des avantages d'avoir eu recours à un mécanisme de RD pour régler ces dossiers; toutefois, une analyse plus poussée et détaillée serait nécessaire pour se positionner avec certitude sur cette question.

De plus, notons que bien que la directrice des appels de l'ARC ait été rencontrée et se soit dite satisfaite du processus de RD, il serait important d'examiner plus en détails l'impact et les implications en rapport avec l'utilisation d'un mécanisme de RD sur le niveau d'effort des employés de l'ARC.

Ainsi, il sera important d'analyser les impacts du recours au RD sur l'ARC. Par exemple, il est intéressant de noter qu'à la suite de l'établissement des paramètres, la directrice des appels de l'ARC en a informé les agents d'opposition qui ont réglé la majorité des dossiers subséquents à partir de ces indications. Les paramètres n'ont pas été présentés comme des normes incontournables mais plutôt comme des options fondées sur des critères objectifs.

En outre, d'autres questions peuvent surgir, notamment à savoir comment la comparaison entre les dossiers négociés et ceux traités à la CCI (autant dans le modèle 1 et 2 ci-dessus) serait modifiée en considérant l'économie d'échelle de coût potentielle dans le cadre possible d'une seule action judiciaire conjointe. Pour le cas en l'espèce, l'avocate au dossier nous a informé qu'il n'y aurait pu avoir une telle action judiciaire et que force est de constater que chaque dossier, s'ils avaient été traités à la CCI, auraient probablement été traités cas par cas. En effet, la nature spécifique des faits de la défense des chauffeurs de taxis et la notion centrée dans tous ces dossiers portant sur la crédibilité des témoignages sans document à l'appui supposent que de nombreuses audiences individuelles pour chaque dossier auraient été nécessaires s'ils avaient été traités à la CCI. Il semble donc qu'il n'y aurait donc peu de chance de succès de considérer une rentabilité significative ou une économie de temps si les 55 dossiers auraient été traités à la CCI.⁸ Néanmoins, considérant la possibilité pour la CCI d'entendre et de juger plusieurs causes en même temps, si une telle possibilité pouvait exister, soulève quelques questions intéressantes. Quel serait l'impact sur le niveau d'effort requis dans un tel contexte? Serait-il de 10% moins élevé? 90%? Actuellement, il nous apparaît obscur quant à la façon de quantifier ce potentiel ou l'impact causé.

D'autres considérations importantes à noter eu égard à la détermination de l'efficacité du mécanisme de RD sont l'impact du temps de conception du système de RD, sa mise en œuvre et le niveau d'effort requis. Vraisemblablement, une fois le système mis en place, ces coûts sont par la suite diminués. En effet, une fois le modèle développé, ce dernier pourrait englober d'autres cas (bien qu'il puisse être légèrement modifié pour s'appliquer dans des circonstances différentes) et, dans ce contexte, on peut présumer que les coûts seraient plus bas. Cependant, il nous est impossible de mesurer cette baisse de coûts précisément n'ayant pas les données disponibles pour ce faire. Nous pouvons toutefois conclure que lorsque le système peut être étendu,

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répété et/ou appliqué à d'autres cas, l'épargne des coûts doit logiquement suivre. Nous conservons ce dernier facteur pour un examen ultérieur dans un contexte où il sera plus aisé de le quantifier. Comme la présente analyse l'indique, bien que les coûts des processus eux-mêmes puissent rendre compte de la majeure partie des dépenses et, par conséquent, représenter la zone la plus propice à l'épargne, l'impact de la conception et de la mise en œuvre eux, sont non négligeables.

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